LEGG MASON
GLOBAL ASSET MANAGEMENT

Year-end service checklist

This form summarizes key services that have been provided over the course of the year and provides a preliminary plan to schedule service delivery in the year ahead.

Activity	Frequency (Enter annual, semi-annual, quarterly, or "as needed")	Last done (Enter date)	Next scheduled (Enter date)
Plan assessment			
Investment menu review			
Investment Policy Statement (IPS) review			
Performance review			
Service/fee inventory (408(b)(2))			
Investment committee review			
Education review			
Enrollment meetings			
Educational seminars			
ERISA 404(c) disclosure review			
Support for plan participation			
Investment education materials			

For Financial Professional use with plan sponsors.

Neither this document nor any information or services rendered by your Financial Professional constitute legal, tax or investment advice. Plan fiduciaries should consult with their legal counsel to understand the full scope of their responsibilities under the Employee Retirement Income Security Act (ERISA) with respect to their plan, including those relating to plan investments and participant education. Neither your Financial Professional nor your Financial Professional's firm shall be deemed to be acting as a "fiduciary" under ERISA in furnishing services to your plan.

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INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE