

## ERISA §404(a) & §404(c) Compliance Checklist

Plan fiduciaries are required to meet specific guidelines as set forth by ERISA. Complete this checklist to indicate compliance with ERISA 404(a) and, if applicable, 404(c) guidelines.

ERISA §404(A) ACTION ITEMS		
Action Item	Completed	Comments
> Investment Policy	<input type="checkbox"/> Yes <input type="checkbox"/> No	
> Quantitative and Qualitative Analytics Applied	<input type="checkbox"/> Yes <input type="checkbox"/> No	
> Investment Recommendations and Policies Reviewed Periodically	<input type="checkbox"/> Yes <input type="checkbox"/> No	
> Investment Selection/Monitoring Process Documented	<input type="checkbox"/> Yes <input type="checkbox"/> No	
§404(C) ACTION ITEMS		
Action Item	Completed	Comments
> Plan Offers a Broad Range of Investment Alternatives	<input type="checkbox"/> Yes <input type="checkbox"/> No	
> Plan Allows Participants to Give Instructions on How to Invest Their Account with Frequency	<input type="checkbox"/> Yes <input type="checkbox"/> No	
> Plan Allows Participant to Obtain Sufficient Information Necessary to Make Informed Investment Decisions	<input type="checkbox"/> Yes <input type="checkbox"/> No	
> Plan Allows Participants to Exercise Independent Control Over Their Investments	<input type="checkbox"/> Yes <input type="checkbox"/> No	