ADVANCE
CAPITAL MANAGEMENT
RETIREMENT PLAN SERVICES

# Retirement Plan Fiduciary File Checklist

We have provided the following documents for your Fiduciary File. We suggest you maintain these in an organized and accessible location.


**1. Plan Governance Documents**
- ☐ Adoption Agreement
- ☐ Plan Document and Amendments
- ☐ Summary Plan Description
- ☐ Investment Policy Statement

**2. Due Diligence Records**
- ☐ Investment Monitoring Reports
- ☐ Investment Review Meeting Notes
- ☐ Service Provider 408(b)2 Compensation Disclosures
- ☐ Plan Expense Benchmark Reports
- ☐ Service Provider Review

**3. Agreements & Legal Records**
- ☐ Fiduciary Adviser Agreement
- ☐ Fiduciary Adviser Form ADV
- ☐ Recordkeeper Agreement
- ☐ Third-Party Administrator Agreement (if applicable)
- ☐ Custodian Agreement (if applicable)

## Other Recommended Records

As a fiduciary "best practice," these are additional items we recommend maintaining within your Fiduciary File:

- ☐ Plan Compliance Testing Results
- ☐ Fidelity Bond Information
- ☐ 5500 Report
- ☐ ERISA Section 404(c) Notice
- ☐ Annual Participant Fee Notice
- ☐ Safe Harbor Participant Notice (if applicable) with Distribution Record
- ☐ Other Participant Notices (fund changes, etc., as applicable) with Distribution Record
- ☐ Summary Annual Report (SAR) with Distribution Record

If you have any questions concerning the above items or need assistance in gathering these items, please do not hesitate to give us a call at **216-520-1437.**

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