

ITEMS NEEDED FOR A FIDUCIARY PLAN REVIEW:

- 408(b)(2) Notice - Annual Fee Disclosure Notice for the plan (lists all plan sponsor and participant fees)
- 404(a)(5) Notice – Participant Fee Disclosure (lists all fees passed to participants)
- Plan level statement. The most recent statement should show all investments available to the plan/participants and how the cumulative plan assets are allocated amongst them; also includes investment expense ratios
- Fee schedules or service agreements for the Financial Advisor and Third Party Administrator-TPA (if and when applicable)
- Fees and returns for the investments available in the plan (returns data can't be older than 90 days old).