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| This document is the property of the Employee Benefits Security Administration.  It is not to be disclosed to unauthorized persons. | File No. (77) |
| Subject:  Name  Address  City, State Zip | Date: |
| By: Name  Investigator/Auditor |
| Approved by: |
| EIN/PN: | Status: Closed |

1. **Predication**

[State the reason for case opening and for conducting an investigation.]

1. **Background**

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| Plan Sponsor: | | |
| Plan Type: | | |
| Other Plans Reviewed: | | |
| As of / / | Assets: $ | Participants: |
| Period Covered by Investigation: / / to / / | | |

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| --- |
| Service Providers |
| Plan Administrator: |
| Trustee(s): |
| Financial Institution, Custodian, or other Parties Holding Plan Assets: |
| Investment Advisor(s) or Investment Manager(s): |
| Third Party Administrators: |
| Other Key Service Providers:  *If relevant to the fiduciary issues in the case, identify other service providers such as brokers, accountants, actuaries, insurance companies, etc., and explain their role in plan administration.* |

1. **Areas Examined** – *Describe all areas examined.*
2. **Records Reviewed *–*** *List records reviewed.**For each item listed, supporting documentation obtained during the investigation should be retained in the case file.*

Other Records Reviewed:

*If plan has filed for bankruptcy, obtain bankruptcy advisement to all affected plans.*

1. **Interviews Conducted –** *Provide the name and title/position of each individual interviewed. Supporting documentation for each interview conducted should be retained in the case file.*
2. **Issues Identified & Resolution**

[Provide a brief description of the issues reviewed, identified and the facts showing that the allegations/issues were not violations.

1. **Referrals and Final Communications**
2. IRS Referral Yes  N/A
3. OCA Referral Yes  N/A
4. Participant Complaint Disposition Notice Yes  N/A
5. SBREFA Notice Yes  N/A

SBREFA notice is required when a plan sponsor, plan or plan service provider has less than 100 participants or employees during the course of an ERISA Title I civil investigation.