



**FORT PITT<sup>®</sup>**  
CAPITAL GROUP

Retirement Plan Services

# Fiduciary Checklist

<b>Fiduciary Governance</b>	<b>Done</b>	<b>Date</b>	<b>Notes / Next Steps</b>
<b>Fiduciary Governance</b>			
<b>Establish Formal Committee</b>			
<b>Review or Create Retirement Plan Committee (RPC)</b>			
<b>Bylaws and Charter</b>			
<b>Conduct and Document Committee Meetings</b>			
<b>Review or Create Investment Policy Statement (IPS)</b>			
<b>Ensure Copies of all Service Agreements on File</b>			
<b>Fidelity Bond Coverage</b>			
<b>Fiduciary Insurance Coverage</b>			

<b>Investment Governance</b>	<b>Done</b>	<b>Date</b>	<b>Notes / Next Steps</b>
<b>Review IPS Selection and Inclusion of Investment Options</b>			
<b>Review Performance of Investment Lineup</b>			
<b>Review Company Stock Allocation Suitability</b>			
<b>Review Investment Fees</b>			
<b>Qualified Default Investment Alternative (QDIA) Review</b>			
<b>Ensure 404(c) Compliance</b>			
<b>Review Appropriateness of Brokerage Window</b>			



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Service Provider Governance	Done	Date	Notes / Next Steps
Review For Reasonable Fees Compared to Marketplace			
5500 Preparation			
ADP/ACP Discrimination Testing			
408(b)(2) Disclosures			
Review Annual Compliance Due Dates			
Review Timing of Contribution Deposits			
Valuation Report Showing Assets by Fund and Accounts			
Update list of Authorized Service Provider Representatives			
Ensure Loan Provisions Comply with Prohibited Transaction Rules			
Check Form 8955-SSA is Extended Properly & Filed on Time			

Participant Communication Governance	Done	Date	Notes / Next Steps
Schedule and Conduct Educational Meetings			
404(c) Notifications			
Brokerage Window Disclosures Provided to Participants			
404(a)(5) Fee and Investment Performance Disclosures			
Audit Participant Mailing Addresses and Document Process for Lost Participant Searches			
Distribute Summary Annual Report			
Safe Harbor Notices Distributed			

Other	Done	Date	Notes / Next Steps



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