

SAMPLE DEPARTMENT OF LABOR DOCUMENT REQUEST



INSTRUCTIONS

This is a sample Department of Labor (DOL) Document Request. Use this as a guide for the types of documents that you should retain for the 401(k) plan. Upon receipt of any correspondence from the DOL requesting documents or information, it is suggested that you seek experienced ERISA counsel before responding to the request.

1	Current Plan Document and All Amendments
2	Current Trust Agreement and All Amendments
3	Most Recent Summary Plan Description
4	Most Recent Summary Annual Report
5	The latest fidelity bond policy and riders/endorsements for the plan covering fraud and dishonesty that includes the following information: bond lapse date, amount of the bond, named insured(s), discovery period, deductible, and name of the surety company
6	Fiduciary Liability Insurance Policy, if applicable
7	The most recent internal income statement which indicates receipts and disbursements of funds in connection with the Plan
8	Most recent internal balance sheet/statement of assets and liabilities for the Plan
9	Schedule of Plan Assets, last 6 years
10	Most Recent Internal Revenue Service Letter of Determination
11	408(b)(2) fee disclosure notices, last 6 years
12	Minutes of Plan Board of Trustees' Meetings from the three most recent Plan years, as well as minutes of Trustee Committees, subcommittees, other Plan administrative groups and any other Plan Committee Meetings
13	Financial Records for the last three years: • Trust reports – both schedule of assets and schedule of transactions; and • If the Plan funds are held in a checking account, savings account or other general ledger account, copies of transaction statements
14	Service provider contracts and fee disclosure notices (Insurance Contract Agreements, Investment Manager Agreement, Third Party Administrator Contracts, Actuaries, Attorneys, and Accountants)
15	404(a)(5) notices to participants, quarterly and annual for last 6 years
16	A sample quarterly participant benefit statement that may be redacted of all personally identifiable information

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17	For all loans made, held, acquired by, or involving the Plan (including participant loans as well as any loans secured by mortgages) • A list of any and all loans made to any person, firm, or corporation • A list of all participant loans that exceed five (5) years • For any loan used in acquiring a principal residence, attach supporting documentation (i.e., construction loan contracts, HUD documents, purchase/sell agreement) • A list of any and/or all loans that were in default within the preceding four (4) years • Identification of collateral (UCC-1 filings, trust deeds, mortgages, etc.) • Internal procedures followed in obtaining loan from the Plan • A set of sample loan documents
18	Annual Report Forms 5500, with the audited financial statements and any schedules or attachments for the last three years filed
19	All documents regarding fees incurred by the Plan for services rendered to the Plan, including, but not limited to, internal fees and commissions, performance-based fees and/or commissions
20	All documents regarding costs, either direct or indirect, charged to the Plan by the sponsor, its affiliates or subsidiaries and/or any entity in which the sponsor owns ownership interest
21	All documents related to the Company's organizational structure and management structure, including, but not limited to, articles of incorporation, corporate by-laws, partnership agreements, and organizational charts
22	Any and all documents which describe the Plan's compliance with ERISA requirements, including, but not limited to, ERISA compliance policies and procedures, names of employees responsible for ERISA compliance, any ERISA compliance audit, reviews or examinations, and any documents which describe any ERISA compliance violation and correction of the violation
23	All documents that disclose any arrangement wherein the Plan, Plan fiduciary, Plan sponsor, its agents or employees, or any affiliated entity receives monies or other property, directly or indirectly, as a result of making a recommendation or selection of any investment for the Plan
24	All documents regarding investment performance of the Plan, including, but not limited to, analysis regarding the dismissal or retention of portfolio investments
25	Ongoing plan documentation showing benefit structure and guiding day-to-day operations