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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: | Status: Closed |

1. **Predication**

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

1. **Background**

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| Type of Financial Institution:  |
| As of / /  | No. of ERISA Plan Clients:  | Managed Assets: |
| Period Covered by Investigation: / / to / / |
| Other:  |

1. **Areas Examined** – *Describe all areas examined.*

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

1. **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.