

ERISA 404(a) & 404(c) Checklist

Plan fiduciaries are required to meet specific guidelines as set forth by ERISA. Complete this checklist to indicate compliance with ERISA 404(a) and, if applicable, 404(c) guidelines. Note, this is a high-level compliance checklist and is not an exhaustive list of all 404(c) requirements.

ERISA 404(a) ACTION ITEMS		
Action Item	Completed	Comments
Investment Policy	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Quantitative and Qualitative Analytics Applied	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Investment Recommendations and Policies Reviewed Periodically	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Investment Selection/Monitoring Process Documented	<input type="checkbox"/> Yes <input type="checkbox"/> No	
404(c) ACTION ITEMS		
Action Item	Completed	Comments
Plan Offers a Broad Range of Investment Alternatives	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Plan Allows Participants to Give Instructions on How to Invest Their Account with Frequency	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Plan Allows Participant to Obtain Sufficient Information Necessary to Make Informed Investment Decisions	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Plan Allows Participants to Exercise Independent Control Over Their Investments	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Other Matters Addressed (Reference §404(c) Checklist)	<input type="checkbox"/> Yes <input type="checkbox"/> No	

This information is for general and educational purposes and not intended as legal, tax, or accounting advice. Information obtained from third-party sources are believed to be reliable but not guaranteed. Securities and Investment Advisory Services Offered Through M Holdings Securities, Inc. A Registered Broker/Dealer and Investment Adviser, Member FINRA/SIPC. Rose Street Advisors, LLC is independently owned and operated.