



SAFE FIDUCIARY CHECKLIST

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COMPLETE THIS CHECKLIST TO DOCUMENT THE STEPS YOU ARE TAKING TO MEET THE INDUSTRY 'BEST PRACTICES' FOR MANAGING RETIREMENT PLAN ASSETS.

1. Are investments managed in accordance with applicable laws, trust documents, and written investment policy statements? Not Sure Yes No
2. Are the roles and responsibilities of all involved parties (fiduciaries and non-fiduciaries) defined, documented, and acknowledged? Not Sure Yes No
3. Is there no indication that fiduciaries and parties in interest are involved in self-dealing? Not Sure Yes No
4. Are service agreements and contracts in writing? Are they written without provisions that conflict with fiduciary standards of care? Not Sure Yes No
5. Are assets within the jurisdiction of appropriate courts? Are they protected from theft and embezzlement? Not Sure Yes No
6. Has an investment time horizon been identified? (DB) Not Sure Yes No
7. Has a risk level been identified? (DB) Not Sure Yes No
8. Has an expected, modeled return to meet investment objectives been identified? (DB) Not Sure Yes No
9. Are selected asset classes consistent with the identified risk, return, and time horizon? (DB) Not Sure Yes No
10. Are selected asset classes consistent with implementation and monitoring constraints? Not Sure Yes No
11. Is there an Investment Policy Statement (IPS) which contains the detail to define, implement, and manage a specific investment strategy? Not Sure Yes No
12. Does the IPS define appropriately structured, socially responsible investment (SRI) strategies (where applicable)? Not Sure Yes No
13. Is the investment strategy implemented in compliance with the required level of prudence? Not Sure Yes No
14. Are applicable "safe harbor" provisions followed (when elected)? Not Sure Yes No
15. Are investment vehicles appropriate for the portfolio size? Not Sure Yes No



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16. Is a due diligence process followed in selecting service providers, including the custodian?
Not Sure Yes No
17. Are there periodic reports comparing investment performance against an appropriate index, peer group, and IPS objectives?
Not Sure Yes No
18. Are periodic reviews made of qualitative and/or organizational changes of investment decision-makers?
Not Sure Yes No
19. Are control procedures in place to periodically review policies for best execution, "soft dollars," and proxy voting?
Not Sure Yes No
20. Are fees for investment management consistent with agreements and with all applicable laws?
Not Sure Yes No
21. Are "finder's fees" or other forms of compensation that may have been paid for asset placement appropriately applied, utilized, and documented?
Not Sure Yes No
22. Is there a process to periodically review the organization's effectiveness in meeting its fiduciary responsibilities?
Not Sure Yes No