Report of Investigation   **U.S. Department of Labor**
                                 Pension and Welfare Benefits Administration

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Subject: PLANS	Date
Case Name Address	By Investigator/Auditor
	Approved By
EIN/PN	Status CLOSED

I. Predication (State the reason for the case opening and for conducting an investigation.)

II. Background
Plan Sponsor: _____

Plan Type: _____

As of   / / :   Assets: _____   Participants: _____
Period Covered by Investigation: / /   to   / /
Other Plans Reviewed: _____

III. Areas Examined
___ Bonding	___ Other Loans	___ Income/Earnings
___ Rptg. & Disclosure	___ ER Sec./Real Prop.	___ Expenses
___ Contributions	___ Ptrships/Jt. Venture	___ Valuations
___ Stocks & Bonds	___ Other Investments	___ Cash
___ Real Estate	___ Receivables/Payables	___ Insurance
___ Mortgages	___ Liabilities	___ Benefits

Other: _____

IV. Records Reviewed (For each item checked, supporting documentation obtained during the investigation should be retained in the case file.)

___ Trustee/Corp Minutes	___ Forms 5500	___ Real Estate/Mortgage
___ Correspondence Files	___ Financial Stmts	___ Appraisals/Valuations
___ Service Prov Contracts	___ Rcpts/Disbs	___ Partnership/Joint Venture
___ Insurance Contracts	___ Bank/Inv Stmts	___ Stock Records
___ Plan/Trust Documents	___ Loan Records	___ Participant Records
___ Bond	___ Liability Ins.	___ SPD/SAR

Other: _____

V. Interviews Conducted (Supporting documentation for each interview conducted should be retained in the case file.)

___ Trustee(s)	___ Plan Administrator	___ Plan Accountant
___ Corporate Personnel	___ Plan Attorney	

Other: _____

VI. __Issues Identified & Resolution__   (Provide a brief description of the issues identified and the facts showing that the allegations/issues were not violations. In cases where violations are found, cite the facts showing that VC was achieved, including monetary results, if any, or that other dispositive action was taken.)

VII. __Civil Penalties__
    Assessed: ___ Yes   Amount   502(l): _____
                               502(i): _____
          ___ No   Why not _____