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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**

|  |
| --- |
| Type of Service Provider:  |
| Type of Clients: [ ]  Health [ ]  Retirement [ ]  Other |
| As of / /  | No. of ERISA Plan Clients:  | No. of Participants: |
| Period Covered by Investigation: / / to / / |
|  |
| Services Provided:  |
| [ ]  Claims/Benefit Determination | [ ]  COBRA Administration |
| [ ]  Claims/Benefit Payments | [ ]  Benefit Consulting  |
| [ ]  Pre/Maintenance Participant Records | [ ]  Investment  |
| [ ]  Bonding | [ ]  Utilization Review |
| [ ]  Legal  | [ ]  Actuarial |
| [ ]  Document Preparation - [ ]  5500 [ ]  Plan Document [ ]  SPD [ ]  SAR |
|  |
| Other:  |

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

1. **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.