

Investment Committee Meeting Checklist

Meeting Minutes

- Review minutes from previous meeting and approve

Conduct a Plan Review

- Recent changes in the law that may affect the plan since the last review
- Potential changes in plan design
- Recent plan amendments
- Asset allocation trends based on participants' activity

Review Plan Investments/ Performance

- Relative and absolute investment performance to measure how the investments' performance stacks up against their peers and over various market cycles
- Risk/return characteristics to measure each investment's risk and return relative to the overall market and its peers
- Adherence to style to determine whether the investments are invested as mandated in the investment policy statement
- Market cycle analysis to determine if the plan is sufficiently diversified and make recommendations for investments to be eliminated or replaced

Review Participant Education and Communication

- Enrollment results since last meeting; changes for future enrollment meetings; schedule next enrollment meeting
- Results of educational meetings since last review, discuss changes for future meetings; schedule next education meeting
- Materials for appropriateness

Review the Plan Operations

- Service provider's performance relative to plan needs; service provider agreements, including a review of fees and expenses
- Plan contributions so they are segregated and invested into the plan as soon as possible
- The plan's continued qualification for relief under ERISA 404(c)

This Investment Committee Meeting Checklist is intended to provide investment committees with some agenda items they may wish to consider when conducting an investment committee meeting.

This checklist is provided for informational purposes only. It is not intended to provide authoritative guidance or legal advice. In no way will this checklist ensure compliance with ERISA or fiduciary responsibilities. Consult with your own attorney for guidance on your particular situation.

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