



R.W. Rogé & Company
PRIVATE WEALTH MANAGEMENT SINCE 1986

IPS Review Checklist

This checklist is designed to help ensure your IPS is reviewed and updated when necessary.

Date of Review: _____

Investment Policy Review: Review your current IPS. If you answer “yes” to any of the following questions, you should have your IPS updated.

1. Have there been any changes to the investment fiduciaries on your plan? (If a fiduciary is changed, added, or deleted, this should be reflected on your policy).	☐ Yes	☐ No
2. Has the plan changed its election regarding compliance with ERISA Section 404(c)?	☐ Yes	☐ No
3. Have any changes been made to the monitoring criteria used on your plan?	☐ Yes	☐ No
4. Have you added or removed any asset classes to your plan?	☐ Yes	☐ No
5. Have any changes been made to the ongoing evaluation criteria used on your plan?	☐ Yes	☐ No
6. Have there been any significant changes to your company's structure or investments since you last reviewed your IPS?	☐ Yes	☐ No

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