



INVESTMENT POLICY STATEMENT (IPS) REVIEW CHECKLIST

THIS CHECKLIST IS DESIGNED TO IDENTIFY IF CHANGES TO YOUR PROSPECT'S/CLIENT'S IPS MAY BE NEEDED.

If you answer 'YES' to any of the following questions, you should have your IPS reviewed, and, if necessary, updated. Review your current IPS at least annually.

	YES	NO
1. Have there been any changes to the plan/portfolio objectives?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have the risk, return or time horizon parameters changed?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the rebalancing protocol (if applicable) changed?	<input type="checkbox"/>	<input type="checkbox"/>
4. Has there been any change in service providers (e.g., recordkeeper)?	<input type="checkbox"/>	<input type="checkbox"/>
5. Have there been any changes to the investment selection, monitoring or replacement criteria?	<input type="checkbox"/>	<input type="checkbox"/>
6. Has there been a change to the asset class guidelines (e.g., new default investment option)?	<input type="checkbox"/>	<input type="checkbox"/>
7. Have there been any changes to the service provider evaluation criteria?	<input type="checkbox"/>	<input type="checkbox"/>
8. Have there been any changes to the service provider duties (e.g., 3(21) to 3(38) advisor)?	<input type="checkbox"/>	<input type="checkbox"/>
9. Have the procedures for controlling and accounting for investment expenses changed?	<input type="checkbox"/>	<input type="checkbox"/>
10. Have there been any significant changes to your company's structure?	<input type="checkbox"/>	<input type="checkbox"/>