



## WEST CAPITAL MANAGEMENT

### **Fiduciary Self Assessment**

1. Do you have signed agreements with all service providers that outline their responsibilities, fees and service standards?  
 **Yes**                       **No**                       **Don't Know**
  
2. Have all fiduciaries (both employees of the company and third party service providers) been identified and have they acknowledged their status and responsibilities in writing?  
 **Yes**                       **No**                       **Don't Know**
  
3. Has a formal Investment Policy Statement (IPS) been adopted by the trustees?  
 **Yes**                       **No**                       **Don't Know**
  
4. Are investments managed in accordance with applicable laws, your Plan trust documents and your written IPS?  
 **Yes**                       **No**                       **Don't Know**
  
5. Has the IPS been signed by all plan fiduciaries acknowledging their responsibilities?  
 **Yes**                       **No**                       **Don't Know**
  
6. Does the IPS define hiring, monitoring, and terminating standards for investment options and service providers?  
 **Yes**                       **No**                       **Don't Know**
  
7. Does the IPS define procedures for controlling and accounting for investment expenses?

**Yes**                                       **No**                                       **Don't Know**

8. Are their periodic reports that compare investment performance against an appropriate index, peer group, and IPS objectives?

**Yes**                                       **No**                                       **Don't Know**

9. Does your IPS outline the procedure for hiring and terminating an investment manager from the Plan?

**Yes**                                       **No**                                       **Don't Know**

10. Are Plan fees reviewed and documented regularly?

**Yes**                                       **No**                                       **Don't Know**

11. Do the Plan fiduciaries and trustees meet at least annually and keep well documented minutes of those meetings?

**Yes**                                       **No**                                       **Don't Know**

12. Are your Plan fees reasonable when compared to other companies with your demographics?

**Yes**                                       **No**                                       **Don't Know**

**Total YES:**

**Total NO:**

**Total Don't Know:**

RANGE	YES	NO/Don't Know
You Understand your fiduciary liability	10-12	0-2
You should have your practices updated	6-10	3-8
You need to have your practices overhauled	0-4	6-12