

Events

Groom Webinar: Book of Business Audits – Navigating DOL Service Provider Investigations (November 10, 2021)

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SERVICES

DOL has begun routinely investigating health and retirement plan service providers in “book of business audits” that can involve hundreds if not thousands of plans. These investigations originally targeted plan fiduciaries (*e.g.*, trustees, investment managers and plan administrators) but now frequently involve non-fiduciary providers, including recordkeepers.

This webinar will cover a discussion of the issues unique to book of business audits such as the production of sensitive information (*e.g.*, business agreements, insurance policies, client and participant data), DOL’s use of sub-regulatory guidance, and client/customer relations.

Please [contact us](#) if you have any questions or would like to receive a recording of this program.