

IRA Compliance Audits

An audit now is a comparatively painless and inexpensive safeguard against the potential of great liability later.

What Does the Audit Encompass?

- CWF will review your IRA files
- CWF will give a verbal overview of audit findings on the day of audit
- CWF will write a comprehensive report dealing with the deficiencies and recommending procedures to strengthen the IRA program — this audit report will be a resource to help with your internal compliance procedures

Qualifications you can trust

Collin W. Fritz and Associates, LTD. is especially suited to audit your IRA and Qualified Plan files and records. With some of the best legal and consulting professionals in the business, you can rely on our mastery of the up-to-the-minute compliance issues.

CWF offers two types of audits:

1. On-site audit

You want an on-site audit if you want the CWF auditor to have full access to your customer files, computer files, forms, research documentation and your IRA personnel. This access will allow the auditor to determine the strengths and weaknesses of your institution's IRA work product.

Fee: \$1,500 per day plus travel expenses
Includes a detailed written follow-up report

2. Mail-in audit

Very similar to an on-site audit, except CWF will instruct you what files we wish to examine. After reviewing a list of your IRAs and asking various questions, you will be asked to photocopy various files, computer reports, forms, etc. and ship them to CWF for a comprehensive review.

Fee: \$495 – 25 files or \$695 – 40 files
Includes a detailed written report

Inquiry Form: Fax/Mail

I am interested in receiving information about a compliance audit. This is an inquiry only, and I am under no obligation.

NAME		Estimated # of IRAs
INSTITUTION		Estimated # of SEPs/SIMPLEs
ADDRESS		Estimated # of Roth IRAs
TELEPHONE	FAX	Estimated # of QPs
E-MAIL		Estimated # of CESAs