

Rollover Analyzer

Client Details

Client Information	
Name	John Smith
Age	30
Employment Status	Employed
Household Net Worth	\$100,000.00
Objective	Rollover \$50,000.00 from Plan to IRA

Decision Factors	Importance	Weighting
All-in Fees and Expenses	High	20 %
Available Investments	High	20 %
Tax Considerations	Medium	20 %
RMD Considerations	Medium	20 %
Other Considerations	Medium	20 %

Results

	Importance	Current Plan	IRA	Result
Fees and Expenses	High	1.21% Based on National Average	0.25%	Rollover
Available Investments	High	Open Arch	Open Architecture	Rollover
Tax Considerations	Medium	Medium Benefit	High Benefit	Rollover
RMD Considerations	Medium	Medium Benefit	High Benefit	Rollover
Other Considerations	Medium		Financial Planning, Investment Management, Tax Planning, Insurance Planning, Retirement Income/Distribution Planning,	Rollover

Recommendation

Rollover Assets

Rollover Analyzer

Attestation

Signature

Printed Name

Date

Documents Requested	
Annual Retirement Plan Participant Fee Disclosure Notice	Provided
Most Recent Quarterly Retirement Plan Statements	Provided
Summary Plan Description or Summary Material Modification	Provided

Fiduciary Acknowledgment

When we provide investment advice to you regarding your retirement plan account or individual retirement account, we are fiduciaries within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money may create some conflicts of interests, so we operate under a special rule that requires us to act in your best interest and not put our interest ahead of yours.

Under the Rule's provisions:

- Meet a professional standard of care when making investment recommendations
- Never put our financial interests ahead of yours when making recommendations
- Avoid misleading statements about conflicts of interest, fees or investments
- Follow procedures designed to ensure we give advisors that is in your best interest
- Charge no more than is reasonable for our services
- Give you basic information about conflicts of interest

Disclosures

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Sec. II(b)(3) requires Financial Institutions to provide Retirement Investors, prior to engaging in a rollover recommended pursuant to the exemption, with documentation of the specific reasons that the recommendation to roll over assets is in the best interest of the Retirement Investor. This requirement extends to recommended rollovers from a Plan to another Plan or IRA as defined in Code section 4975(e)(1)(B) or (C), from an IRA as defined in Code section 4975(e)(1)(B) or (C) to a Plan, from an IRA to another IRA, or from one type of account to another (e.g., from a commission-based account to a fee-based account).

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