

RolloverAnalyzer™

Single workflow for recommending, documenting and disclosing rollovers.

WATCH VIDEO

- ✓ Compare rollovers based on client fit, service value and investment costs.
- ✓ Assess plan costs via a built-in integration to Form 5500 and benchmark data.
- ✓ Document the recommendation and disclose with the client in one click.

Cost Lookup type:

Company Lookup:

Plan Lookup:

Approx. Plan Size:

Approx. No. of Employees:

Plan Costs %:

Investment Cost %:

Total Investment Costs %:

Industry Average

Approx. Plan Size:

Approx. No. of Employees:

Plan Costs %:

Investment Cost %:

Total Investment Cost %:

PROPOSED IRA

Account Type:

Approximate AUM:

Advisory Fees %:

Investment Costs %:

Other Costs %:

Total Investment Costs %:

| CURRENT PLAN | Client Need | IRA |
|-------------------------------------|---------------------------------|-------------------------------------|
| <input type="checkbox"/> | <input type="range" value="7"/> | <input type="checkbox"/> |
| <input checked="" type="checkbox"/> | <input type="range" value="5"/> | <input checked="" type="checkbox"/> |
| <input type="checkbox"/> | <input type="range" value="9"/> | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | <input type="range" value="5"/> | <input checked="" type="checkbox"/> |
| <input type="checkbox"/> | <input type="range" value="9"/> | <input checked="" type="checkbox"/> |
| 2 | | 7 |

Plan to IRA for Naomi Russo
Wednesday, 02 March 2022

Dear Naomi,

I am pleased to recommend rolling your employer-sponsored plan to an IRA. As part of evaluating this recommendation, relevant investment costs, financial services and overall fit have been assessed. For a detailed review of this analysis, along with important disclosures about what you can expect, please see below.

Rationale to Rollover your Employer-Sponsored Plan

To assess whether the recommendation to rollover your employer-sponsored plan assets to an IRA is appropriate for you, we analyzed how your current situation in your employer-sponsored plan portfolio compares to rolling over the assets to an IRA managed by your financial professional.

The analysis is derived from three categories, Service, Fit and costs. Service Value assesses how service offerings that are important to you, e.g. financial planning, compare between the employer-sponsored plan and the IRA managed by your financial professional. Fit compares how the various features of the IRA and employer-sponsored plan meet your unique circumstances and needs. Finally, we compare how Investment Costs under the employer-sponsored plan differ from those in the IRA.

This comparison is limited to the context of rolling your assets from the employer-sponsored plan to an IRA and does not evaluate other potential investment choices such as cashing out your current plan. If you would like to evaluate other options, please speak with your financial professional.

| | Current Plan | Target IRA |
|----------------|---------------------------------|---------------------------------|
| SERVICE | <input type="range" value="2"/> | <input type="range" value="7"/> |
| | Current Plan | <input type="range" value="7"/> |

“ RolloverAnalyzer checks all the boxes within a single workflow and does it simply and intuitively. – Ryan Carlson, Principal at AISG

“ Choosing InvestorCOM to meet our regulatory obligations for Reg BI and PTE 2020-02 was an easy decision. RolloverAnalyzer empowers our advisors to grow their business through pursuing rollover opportunities, while making compliant recommendations that are in the investor’s best interest.

– Shannon Spotswood, President, RFG Advisory

“ With access to a comprehensive rollover analysis tool, our Financial Advisors can easily document their comprehensive discussions with clients about moving their retirement dollars.

– Risa Gomez, First Vice President of Retirement Plan Services at Davenport & Company

“ We recognize that meeting the PTE 2020-02 requirements is most efficiently accomplished by utilizing compliance technology – there are far too many factors for an advisor to consider.

– Ryan Carlson, Principal at AISG

See a demo of RolloverAnalyzer
InvestorCOM.com/demo

About InvestorCOM Inc.

InvestorCOM is a leading provider of regulatory compliance software and communications solutions for wealth managers, asset managers and insurers in the financial services industry. Our high value, intuitive solutions eliminate compliance risk for our clients.



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