

# Powerful, modular solutions to solve tough regulatory requirements.

## Provide Best Interest Rollover Advice

### RolloverAnalyzer™

WATCH VIDEO

Single workflow for recommending, documenting and disclosing rollovers.

- ✓ 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.
- ✓ Monitor rollover volumes, drill into details, and identify risk-based scenarios.
- ✓ Match RolloverAnalyzer records against new accounts opened.
- ✓ Export data for inclusion in reports for regulators.

**Cost Lookup type:** Plan Look Up

**Company Lookup:** MICROSOFT CORPORATION

**Plan Lookup:** MICROSOFT CORPORATION ...

**Approx. Plan Size:** \$38,348,232,783.00

**Approx. No. of Employees:** 99737

**Plan Costs %:** 0.04

**Investment Cost %:** 0.07

**Total Investment Costs %:** 0.11

**Industry Average**

**Approx. Plan Size:** Mega \$1B+

**Approx. No. of Employees:** 12977

**Plan Costs %:** 0.28

**Investment Cost %:** 0.24

**Total Investment Cost %:** 0.52

**PROPOSED IRA**

**Account Type:** Advisory

**Approximate AUM:** \$200K-\$500K

**Advisory Fees %:** 1.10

**Investment Costs %:** 1.50

**Other Costs %:** Transfer Fees 0.44

**Total Investment Costs %:** 3.04

**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
<b>SERVICE</b>	2	7
	7	

	Client Need	IRA
<input type="checkbox"/>	7	■
<input checked="" type="checkbox"/>	5	■
<input type="checkbox"/>	9	■
<input checked="" type="checkbox"/>	5	■
<input type="checkbox"/>	9	■
	2	7

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

# Meet Reg BI's Care Obligation Requirements

## PeerCompare™

WATCH VIDEO

Show that reasonably available alternatives have been considered.

- ✓ Identify a product peer group based on cost, risk and return.
- ✓ Create a recordkeeping transaction for each recommendation.
- ✓ Generate a PDF record for sharing with the client.

## AccountCompare™

Make best interest account-type recommendations.

- ✓ Capture the rationale for account recommendations.
- ✓ Improve decision-making with our configurable scoring methodology.
- ✓ Generate a plain language summary of the recommendation for sharing with the client.

## ComplianceExpress™

WATCH VIDEO

Manage document delivery and recordkeeping from a single platform.

- ✓ Create, send and track delivery of compliance documents (Form CRS).
- ✓ Manage all recordkeeping aspects of the disclosure event.
- ✓ Integrated reporting at advisor/client/branch/enterprise level.

## ShelfMonitor™

WATCH VIDEO

Monitor and manage your ever-changing product shelf.

- ✓ Real-time monitoring of your investment product shelf.
- ✓ Customizable alerts notify you when material change happens.
- ✓ Materiality Index makes it easy to filter data.
- ✓ Assess the competitiveness of the products on your shelf.

## 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.

