

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:	Plan Look Up	Industry Average
Company Lookup:	MICROSOFT CORPORATION	Approx. Plan Size: Mega \$1B+
Plan Lookup:	MICROSOFT CORPORATION ...	Approx. No. of Employees: 12977
Approx. Plan Size:	\$38,348,232,783.00	Plan Costs %: 0.28
Approx. No. of Employees:	99737	Investment Cost %: 0.24
Plan Costs %:	0.04	Total Investment Cost %: 0.52
Investment Cost %:	0.07	
Total Investment Costs %:	0.11	

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

CURRENT PLAN	Client Need	IRA
<input type="checkbox"/>	7	<input type="checkbox"/>
<input checked="" type="checkbox"/>	5	<input checked="" type="checkbox"/>
<input type="checkbox"/>	9	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	5	<input checked="" type="checkbox"/>
<input type="checkbox"/>	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.

SERVICE	Current Plan	2
	Target IRA	7
	Current Plan	7

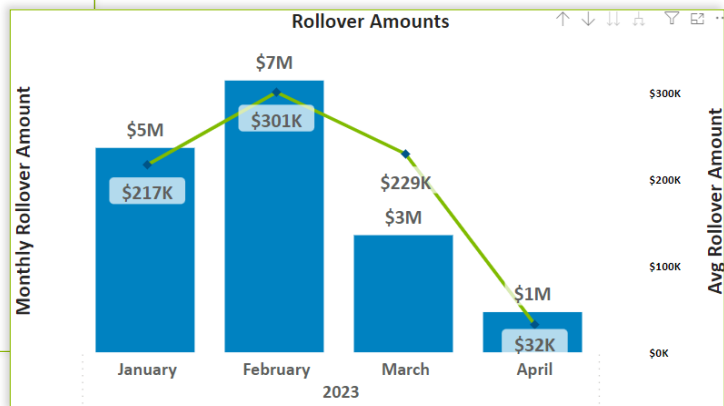
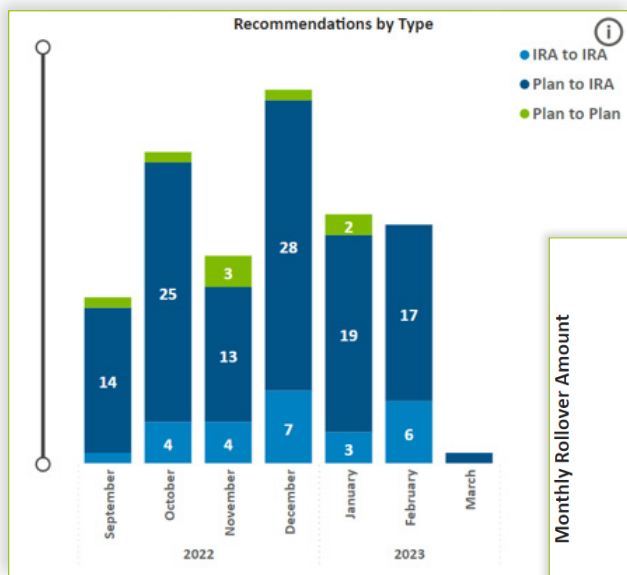
“ RolloverAnalyzer checks all the boxes within a single workflow and does it simply and intuitively. – Ryan Carlson, Principal at AISG

Simplify the retrospective review process.

Using RolloverAnalyzer's compliance dashboard value-add, compliance and supervisory teams can efficiently review their firm's rollover transactions as required by PTE 2020-02.

ComplianceDashboard™ gathers all the transactional data from RolloverAnalyzer and presents it in a single, robust dashboard.

- Monitor and analyze your firm's rollover activity.
- Filter by financial professional and drill into detail.
- Identify risk-based scenarios for self-correction.
- Export data for regulatory reports.
- Validate rollover recommendations with rollover activity.



Example graphs available.

See a demo of RolloverAnalyzer
InvestorCOM.com/demo

About InvestorCOM Inc.

InvestorCOM is a leading provider of regulatory compliance software solutions for the wealth management industry. Our high value, intuitive solutions eliminate compliance risk for our clients.

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