


# AccountCompare™

Align investor needs with account features.

- > Assess account types based on investor needs, investment activity and costs.
- > Integrated scoring metric to intuitively illustrate the decision clearly.
- > Configurable platform designed to meet the unique needs of your firm.
- > Compliant framework designed to meet the SEC and DOL's account type recommendation requirements.



Based on your information, this recommendation seems to be in your client's best interest. If you wish to continue, use the Recommend or Disclose button below.

### Client Information

Please provide the following information about your investor.

Investor First Name\*

Investor Last Name\*

Email

Client

[Edit](#)

### Client Profile

We will collect information about your client's investment profile to help us with our analysis.

Risk Tolerance\*

Investment Objective\*

Time Horizon\*

Financial Goals\*

Account Purpose\*

### Client Needs

The following questions assess the investor's needs as they pertain to their investment, trading and product requirements.

Recommended Account Type\*

Requires complex financial and/or estate planning  5  
Neither agree nor disagree

Prefers active trading and rebalancing vs. buy and hold  8  
Strongly agree

Requires ongoing advice and monitoring  9  
Strongly agree

Prefers delegation of investment decisions vs. making own investment decisions  7  
Agree

Requires access to managed models and portfolios  7  
Agree

“ We appreciate the standardized approach, simplicity and straightforwardness of AccountCompare. The rationale for recommendations is thorough and clearly recorded. Thank you for creating a product that helps us incorporate our regulatory responsibility as consistently and as clearly as possible!

– Dawn Thompson, Chief Compliance Officer, USA Financial

# Seamless documentation and reporting.

Every analysis is digitally documented in a repository, even the recommendation to not act, providing a 17a-4 compliant repository of all activity and documents for easier reconciliation and research.

- Monitor and research your firm's account type recommendations.
- Audit ready with digital documentation stored in ComplianceExpress™.
- Disclosure can be electronically sent to your client and provided proof of delivery.
- Simplify your research and reporting efforts with a single repository of data and documents.

The screenshot displays the InvestorCOM interface for an Account Comparison. On the left, a letter is addressed to 'Test Investor' dated November 1, 2023. The letter discusses the rationale for a fee-based account recommendation and provides a cost analysis. On the right, a detailed disclosure record is shown for reference number 33, dated 11/22/2023 at 8:18 AM. The record includes the type 'AC Disclosure', a best interest probability score of 75, and a description of the recommendation. It also lists the user 'ICOM US User' as the performer and provides fields for notes and compliance checks. Investor details for Jane Investor are also visible.

See a demo of AccountCompare  
[InvestorCOM.com/demo](https://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.

1.800.361.9494 | [InvestorCOM.com](https://InvestorCOM.com)

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