

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.

The screenshot displays the RolloverAnalyzer interface, divided into several key sections:

- Current Plan Details:** Includes fields for Current Account Type, Account Name, Rollover Amount (\$1,000,000.00), Recurring Costs (0.24%), and One Time Costs.
- Proposed Plan Details:** Includes Proposed Account Type (Advisory Account), Proposed Advisory Account, Recurring Costs (1.00%), and One Time Costs (1.00%).
- Service and Fit Considerations:** A comparison chart showing 'Current' vs 'Client Need' for categories like Ongoing Investment Monitoring & Advice (Moderate), Diverse Investment Options (Very High), Access to Professional Money Managers/Model Portfolios (Very High), Tax Planning (High), and Creditor Protection (Very High).
- Summary Chart:** A bar chart comparing 'Current Plan' (0) and 'Proposed IRA' (7) for SERVICE, and 'Current Plan' (2.2) and 'Proposed IRA' (1.0) for FIT.
- Final Recommendation:** A large box with a score of 62, stating: "Based on our analysis of the Services, Fit and Cost of your potential rollover, this recommendation is in your client's best interest. The combination of improved services, better fit of the recommended accounts, and cost impacts result in a favorable recommendation for your client."
- Investor Information:** Fields for First Name (John), Last Name (Doe), and Email Address (jdoe@mail.com).
- Decision Support:** Fields for Recommendation (Unolicited), Type of Rollover, and Risk Tolerance (Moderate).

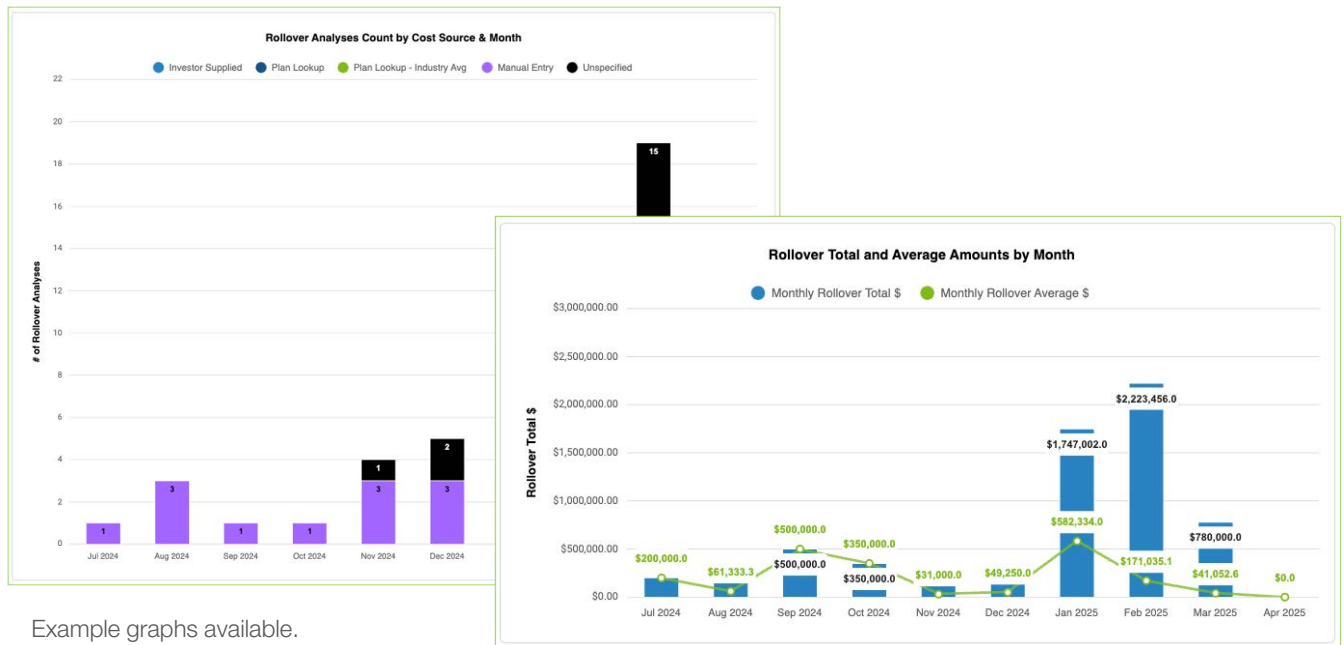
“ RolloverAnalyzer not only simplifies our compliance process, but also maximizes client outcomes – Rick Ohlrich, CCO at RFG Advisory

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.

1.800.361.9494 | InvestorCOM.com

