



# ROLLOVER DOCUMENTATION: FROM A PLAN TO A PLAN

Client	Date
<input type="text"/>	<input type="text"/>

Current Plan	Proposed Plan
<input type="text"/>	<input type="text"/>

Note: Advisors must make diligent and prudent efforts to obtain the information about the client's current plan that is necessary to complete the following. Advisors who, after such efforts, are unable to obtain such information may use alternative data sources.

The following information about the current plan was obtained from (mark all that apply):

- Plan documents, disclosures, or other information provided to the participant
- The plan's Form 5500
- Benchmarks for plans of the same type and similar size or other alternative sources  
(specify source: \_\_\_\_\_)

### Alternatives to a Rollover

Does the client have the option to leave his or her assets in the current plan?

- Yes  No

### Availability of a Rollover

Does the proposed plan accept "roll-in" contributions?

- Yes  No

### Comparison of Fees and Expenses

Fee/Expense	Current Plan	Proposed Plan
Investment-related expenses	<input type="text"/>	<input type="text"/>
Administrative fees	<input type="text"/>	<input type="text"/>
Fees for services (including advice if available)	<input type="text"/>	<input type="text"/>
Set-up fees / custodial fees	<input type="text"/>	<input type="text"/>
Other:	<input type="text"/>	<input type="text"/>
Other:	<input type="text"/>	<input type="text"/>

Does the plan sponsor of the current plan pay some or all of the current plan's administrative expenses?  
 Yes  No If Yes, describe: \_\_\_\_\_

Does the plan sponsor of the proposed plan pay some or all of the proposed plan's administrative expenses?  
 Yes  No If Yes, describe: \_\_\_\_\_

**Describe the Levels of Services and Investments Available under Each Option (Including Personalized Advice) That Justify any Differences in Fees:**

Current plan:

Proposed plan:

**Additional Information Relevant to the Client's Needs and/or Preferences:**

Feature/Factor	Notes on Relevance to Client
Range of investment options available under the current plan and proposed plan	
The client's satisfaction with and/or desire for low-cost institutional funds (if available in current plan and/or proposed plan)	
Differences in services offered (e.g., access to personalized investment advice, distribution planning, full brokerage services, or education)	
Potential for penalty-free withdrawal from the current plan (ages 55 to 59½)	
Availability of plan loan	
Ability to / client desire to postpone future RMDs on current plan by rolling into proposed plan	
Investment in employer stock (diversification considerations versus the tax consequences of a rollover)	
Other (e.g., client desire to consolidate assets at new employer)	

If you relied on benchmarks or alternative data sources to complete this form, document the data's limitations and explain why you believe the benchmark or other data is reasonable:

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