



ROLLOVER DOCUMENTATION: FROM AN IRA TO AN IRA

Client _____ Date _____

Current IRA _____ Proposed IRA _____

Note: Advisors should make diligent and prudent efforts to obtain information about the client's current IRA investments.

Alternatives to a Rollover

Would it be prudent for your client to maintain and/or add to his or her existing IRA? Explain.

Comparison of Fees and Expenses

Fee/Expense	Current IRA	Proposed IRA
Investment-related expenses		
Administrative fees		
Fees for services (including advice if available)		
Set-up fees / custodial fees		
Other:		
Other:		

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

Current IRA:

Proposed IRA:

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 IRA and proposed IRA	
Differences in services offered (e.g., access to personalized investment advice, distribution planning, full brokerage services, or education)	
Other (e.g., client desire to consolidate assets)	

Annuity Information:

Is some or all of the current IRA invested in an annuity contract?

Yes No If Yes, complete the following, as applicable, with respect to the annuity contract.

Feature/Factor	Notes/Description
Surrender fee (current fee, schedule of fees, whether rolling/non-rolling)	
Minimum interest rate guarantee	
Current interest rate on fixed account	
Loss protection / other insurance benefits provided and the cost of such benefits	
Annuitization / lifetime income options available within the annuity	
Client's reasons for annuity purchase, and whether those reasons still exist	

Information about the current IRA was obtained from the following source(s):

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