



**1. Financial Professional Information**

Financial Professional First Name	Financial Professional Last Name

**2. Investor Information**

Investor First Name	Investor Middle Name/Initial	Investor Last Name

**3. Current Non-ERISA Workplace Plan or IRA Registration**

Registration Type (Select one):

- |  |   |  |  |                                |
|--|---|--|--|--------------------------------|
| <input type="checkbox"/> Non-ERISA DC or DB plan | <input type="checkbox"/> Beneficiary IRA      | <input type="checkbox"/> Simple IRA                | <input type="checkbox"/> Roth 457(b)                         | <input type="checkbox"/> Other |
| <input type="checkbox"/> Non-ERISA 403(b) or 457 | <input type="checkbox"/> Beneficiary Roth IRA | <input type="checkbox"/> One-Participant 401k      | <input type="checkbox"/> Archer MSA                          |                                |
| <input type="checkbox"/> IRA                     | <input type="checkbox"/> SEP-IRA              | <input type="checkbox"/> One Participant Roth 401k | <input type="checkbox"/> Health Savings Account (HSA)        |                                |
| <input type="checkbox"/> Roth IRA                | <input type="checkbox"/> SARSEP               | <input type="checkbox"/> Pre-Tax 403(b)            | <input type="checkbox"/> Coverdell Education Savings Account |                                |

Broker-Dealer/RIA/Product Provider that Currently Holds your IRA or Non-ERISA Workplace Plan Assets

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**4. Compensation and Material Conflicts of Interest**

This proposed portfolio may be revised at any time prior to the receipt of the funds. Also, throughout our relationship with you, changes in product type and underlying investments may be recommended. These fees and expenses can change at any time. A complete list of all disclosures and fees is available on the Private Client Services website by following the link:

[www.pcsbd.net/disclosures](http://www.pcsbd.net/disclosures).

**5. Non-ERISA Workplace Plan/IRA Rollover - Levels of Service and Investments**

Comparison of Investments and Services in your current employer plan and those available in an IRA



## 5. Non-ERISA Workplace Plan/IRA Rollover - Levels of Service and Investments

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Current Plan (Check all that apply):

- Annuities
  - Asset Allocation Models
  - Cash and Cash Equivalents
  - Education
  - Employer Stock
  - Exchange Traded Securities Account
  - Mutual Funds
  - Personalized Advice
  - Retirement Plan Distribution Planning
  - Risk Tolerance Assessment
- 

Proposed IRA (Check all that apply):

- Annuities
  - Asset Allocation Models
  - Cash and Cash Equivalents
  - Education
  - Employer Stock
  - Exchange Traded Securities Account
  - Mutual Funds
  - Personalized Advice
  - Retirement Plan Distribution Planning
  - Risk Tolerance Assessment
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## 6. Financial Professional's Recommendation

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Recommended Rollover Retirement Account Type(s) (Check all that apply):

- IRA
  - Roth IRA
  - Beneficiary IRA
  - Beneficiary Roth IRA
  - Archer MSA
  - Health Savings Account (HSA)
  - Coverdell Education Savings Account
  - Other
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### 6.2. Rationale

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Financial Professional: Please specify in writing why the recommendation to roll over or transfer investor's current retirement account is in the investor's best interest. Factors to be considered for the existing account and proposed account include, but are not limited to, features, fees and expenses, levels of service, available products, available investment options, investor objectives and preferences, personalized recommendations, consolidation of assets.

Financial Professional's Rationale for Recommendation

## 7. Acknowledgment

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### Investor Acknowledgments

By signing below, you hereby acknowledge that you read and understand the information about your Plan account options and considered them carefully before making your decision to roll over assets from your Plan



## 7. Acknowledgment

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- You have read and understand this ERISA Rollover document.
- You have had the opportunity to ask questions and obtain additional information.
- You understand that we have a conflict of interest when we recommend that you roll over your ERISA Plan assets to an IRA with us and receive compensation for the new IRA account. In contrast, a recommendation that you do not roll over your plan assets to us will likely result in little or no compensation to us.

### Investment Advice Fiduciary Acknowledgments

**This Acknowledgment applies only to the IRA Account you are opening with us.**

When we provide investment advice to you regarding your retirement plan account or individual retirement account, we are fiduciaries within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money creates some conflicts with your interests, so we operate under a special rule that requires us to act in your best interest. Under this special rule's provisions, we must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that we give advice that is in your best interest;
- Charge no more than is reasonable for our services; and
- Give you basic information about conflicts of interest.



This is a workbook only. Final form output must be created from the online form within the Due Diligence System

