

IRA to IRA Account Transfer Questionnaire

Client Account Information

Account Title: _____ **Account Number:** _____

Account Transferring From (Custodian/Number): _____

Transaction Overview - to be completed by the Financial Advisor

As the Financial Advisor, are you making the recommendation of this transfer of Retirement assets?

No

Yes - if yes, after consideration of any increase in costs in the new account compared to the client's account to be transferred, the impact of such increase, why the reason(s) below support such increase, and the impact of economically significant features such as surrender schedules, please select the specific reason(s) for the recommendation: (NOTE: Additional investment options cannot be the sole reason for the recommendation to transfer.)

Consolidating retirement accounts to simplify management (including statements, tax reporting, beneficiary planning, ease of access.

Client Preference of advisor - client wants to work with this advisor.

Client interested in assistance with financial/retirement planning.

Moving from self-service to full-service account.

Additional/alternative investment options.

Other (please explain)

I/We acknowledge this conversation and that I/we agree to the above recommendations

Financial Advisor Signature: _____ Rep #: _____

Client Signature: _____

Joint Tenant Signature: _____

Date: _____

Supervisor's Approval Signature: _____ Date: _____