

Hohimer Wealth Management

Retirement Rollover Analysis Form

Client Name: _____

We are a Fiduciary to You

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 (“ERISA”) and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money through investment advisory fees creates some conflicts with your interests, so we operate under a special rule that requires us to act in your best interest and not put our interest ahead of yours.

Under this special rule’s provisions, we must:

- Meet a professional standard of care when making investment recommendations. In other words, we must give prudent advice to you;
- Never put our financial interests ahead of yours when making recommendations. In other words, we must give loyal advice to you;
- 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.

Our investment advice to you may include a rollover recommendation – one in which we recommend a change to your retirement account allowing us to manage the assets on your behalf. A “rollover” is broadly defined by the Department of Labor as “any recommendation to roll over assets from one Plan or IRA to another Plan or IRA, or from one type of account to another type of account.”

Conflicts of Interest

When we recommend you rollover retirement assets so that we may manage them, a conflict of interest exists. This is because we receive compensation from you to provide investment management services to you covering those assets. Under ERISA, this conflicted recommendation is prohibited unless we provide you with the disclosures contained in this letter and adhere to the following Impartial Conduct Standards:

- We give advice that is in the “best interest” of the retirement investor. This best interest standard has two chief components: prudence and loyalty;
 - Under the prudence standard, the advice must meet a professional standard of care; and
 - Under the loyalty standard, advice providers may not place their own interests ahead of the interests of the retirement investor, or subordinate the retirement investor’s interests to their own.
- We charge no more than reasonable compensation and comply with federal securities laws regarding “best execution”; and
- We do not make misleading statements about investment transactions and other relevant matters.

These standards have been an important part of our commitment to you from the start as your investment adviser.

Whenever we make a fiduciary investment recommendation in which we have a conflict of interest regarding a retirement account, we are also required to document our review and present it to you. We are therefore providing this letter in connection with discussions related to your options for your retirement account, and why we believe our recommendation is in your best interest.

If you are evaluating a rollover, there are a number of important things to consider which we discussed with you:

- How do the fees you will pay to us to manage your assets compare to what you are currently paying? Keep in mind that there are a number of fees associated with administering, managing, trading, reporting and safekeeping assets for a retirement account.
- Will you be receiving additional financial services from us compared to what you are currently receiving?
- Will the investment options we offer better meet your investment objectives?
- Are our services and fees in your best interest in comparison to maintaining your existing account?

Your Existing Retirement Account

As we discussed with you, your existing retirement account includes the following available investment options (check all that apply): (All investments listed below are available at Hohimer Wealth Management.)

<input type="checkbox"/> Mutual Funds	<input type="checkbox"/> ETFs	<input type="checkbox"/> Stocks / Equities	<input type="checkbox"/> Bonds / Fixed Income
<input type="checkbox"/> Alternative Investments (i.e., private funds, real assets)	<input type="checkbox"/> Other: _____		

Additional Services

You are interested in the following additional services, which are currently available at Hohimer Wealth Management, and you are not currently receiving through your current retirement account (check all that apply):

<input type="checkbox"/> Personalized investment advice	<input type="checkbox"/> Periodic review of any changes in your risk tolerance and financial picture	<input type="checkbox"/> Financial planning
<input type="checkbox"/> Estate planning	<input type="checkbox"/> Investment reporting	<input type="checkbox"/> Market commentary and outlook
<input type="checkbox"/> Greater availability of your adviser	<input type="checkbox"/> Investment education	<input type="checkbox"/> Software or other tools
<input type="checkbox"/> Consolidation of Accounts	<input type="checkbox"/> Other: _____	

Determining What's In Your Best Interest

After careful consideration of comparison of fees, investment options, and available services to meet your needs,
____ we recommend that you rollover retirement account and/or transfer your retirement account.
____ we do *not* recommend that you rollover retirement account and/or transfer your retirement account.

Our analysis compared and considered the following:

1. Costs

(fees for current account and fees for proposed recommendation; impact of those fees on returns; whether employer or another party covers those fees)

Fees & Expenses of Current Plan:	Investment Fees:	Plan Admin/Custodian Expense:	Other Fees:
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Comments: _____

Fees & Expenses if Rolled over into IRA:	Investment Fees:	Plan Admin/Custodian Expense:	Other Fees:
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Comments: _____

2. Services

Listed Above as indicated by you

3. Investment Options

Listed Above as indicated by you

4. Other Factors

(any other factors relevant as to why the recommendation is in your best interest)

By signing below, I (Client) represent and acknowledge that Hohimer Wealth Management has:

1. Discussed with me how services, fees, and investment options provided in my current plan or account compares to the services and fees proposed by Hohimer Wealth Management;
2. Discussed with me alternative options available to me for the account assets;
3. Provided me with a copy of its Form ADV Part 2A, Part 2Bs and Form CRS; and
4. Provided a proposed rollover or transfer recommendation that I have determined is in my best interest and this documentation of the determination has been provided to me.

Name of Client

Signature of Client

Date