Intrepid Financial Planning Group
9200 Keystone Crossing, Ste. 150
Indianapolis, IN 46240
(317) 818-1776

COMPLIANCE – For all 401k Rollovers or Other Qualified Account Rollovers

*Effective no later than 3/31/2017

CLIENT INFORMATION

Name: _____ IAR: _____

Account: _____ R/O Type: _____

ACKNOWLEDGEMENTS

☐ IFPG, and its advisors, will act as a fiduciary, providing recommendations and investment advice in the best interest of the investor.

☐ IFPG receives a fee, as agreed upon in Investment Advisory Agreement, to provide investment advisory services.

ROLLOVER OPTIONS

☐ Review Rollover Options with Client

1.) Leave it in current plan with existing investment options
2.) Roll it over into an Individual Retirement Account (IRA)
3.) Move it new plan sponsored by new employer (if applicable)
4.) Take a taxable distribution (penalty may apply)

REVIEW OF CURRENT 401k OR OTHER QUALIFIED PLAN FOR ROLLOVER

☐ Review costs/fees, investment options, services, and any other pertinent information regarding current 401k or other qualified plan and how it compares to the options offered by IFPG.

Document Information Here (or provide detail on separate page to be submitted with this document).

RECOMMENDATION

☐ Keep current account in current plan

☐ Rollover account to Intrepid Financial Planning Group for management

☐ Recommend Client taking a taxable distribution of current account

☐ Client has requested/initiated rollover without education and recommendation from Investment Advisor Representative or Intrepid Financial Planning Group

SIGNED ACKNOWLEDGEMENT

By signing below, Client acknowledges that the information presented above is accurate and agreed upon. In addition, Intrepid Financial Planning Group does not charge an advisory fee on assets sitting in cash/money market. By signing this acknowledgement the Client also agrees that Intrepid Financial Planning Group will continue to not charge advisory fees on assets sitting in cash/money market even though a move from cash to investments will increase compensation to advisor. Intrepid Financial Planning Group maintains that all investments, and moves from cash/money market to investments, will be done in the best interest of the client.

_____	_____	_____
Client	Investment Advisor Representative	Registered Investment Advisor (IFPG)
DATE_____	DATE_____	DATE_____