with their needs.

DISCRETIONARY

ADVICE OR

ONGOING INVESTMENT

N/A

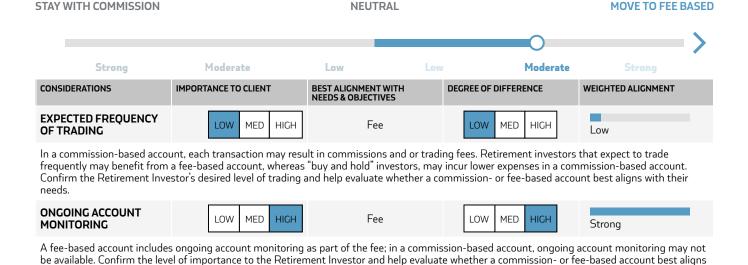
LOW

MED

HIGH

Analysis completed on 03/06/2023. Report generated on 03/06/2023. Analysis ID: 87763.

RELATIVE ALIGNMENT WITH NEEDS & OBJECTIVES



MANAGEMENT

In a fee-based account, a financial professional can provide ongoing investment advice or discretionary management as part of the service for the fee charged. In a commission-based account, the financial professional may only be able to provide advice incidental to the transaction. Confirm the

Fee

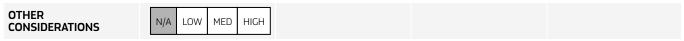
LOW

MED

HIGH



Available products can differ based on the type of account in which they are held. For example, there are more alternative investments or variable annuities available in commission-based accounts than in fee-based accounts. Additionally, certain investments may not be available within one of the accounts. Confirm the level of importance to the Retirement Investor and help evaluate which account best aligns with their needs.



Confirm whether the Retirement Investor has other needs that are not captured above, and, if so, document them and help evaluate which account best aligns with their need(s).



Analysis completed on 03/06/2023. Report generated on 03/06/2023. Analysis ID: 87763.

DECISION FACTORS: DETAIL SUMMARY

Investment advice.

Each consideration which had additional detail recorded to support the importance level, best alignment with needs & objectives and/or degree of difference is shown below.

ONGOING ACCOUNT MONITORING STRONG ALIGNMENT WITH FEE

INVESTOR NEEDS		CURRENT ACCOUNT FEATURES	
~	Ongoing investment monitoring.	Not Applicable	
~	Ongoing education.		
ONGOING INVESTMENT ADVICE OR DISCRETIONARY MANAGEMENT MODERATE ALIGNMENT WITH FEE			
INVESTOR	NEEDS	CURRENT ACCOUNT FEATURES	

Not Applicable

Discretionary investment management or managed accounts. AVAILABLE INVESTMENTS AND/OR PRODUCTS MODERATE ALIGNMENT WITH COMM

INVESTOR NEEDS CURRENT ACCOUNT FEATURES Access to investments that are not available in the current Not Applicable

Analysis completed on 03/06/2023. Report generated on 03/06/2023. Analysis ID: 87763.

NAME OF INDIVIDUAL:	John D	oe

INDIVIDUAL EMPLOYMENT STATUS: No

RETIREMENT INVESTOR ATTESTATION

^{**}Language truncated for sample purposes**