

RELATIVE ALIGNMENT WITH NEEDS & OBJECTIVES

STAY IN EXISTING PLAN

NEUTRAL

MOVE TO NEW PLAN



CONSIDERATIONS	IMPORTANCE TO CLIENT	BEST ALIGNMENT WITH NEEDS & OBJECTIVES	DEGREE OF DIFFERENCE	WEIGHTED ALIGNMENT
ALL-IN FEES AND EXPENSES	LOW MED HIGH	Neutral	LOW MED HIGH	Moderate

Retirement plans typically have investment expenses and plan or account-related fees. Confirm the level of importance to the Retirement Investor and help evaluate the all-in expenses by adding all expenses charged in each plan and comparing the two.

AVAILABLE SERVICES	LOW MED HIGH	New Plan	LOW MED HIGH	Moderate
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Some plans may offer a wide range of services such as managed accounts, participant investment advice and one-on-one education sessions, while other plans may offer more limited services. Confirm the level of importance to the Retirement Investor and help compare the level of available services in each plan to assess which one best aligns with their needs.

AVAILABLE INVESTMENTS	LOW MED HIGH	Plan	LOW MED HIGH	Low
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Some plans may offer limited choices, while others provide a broad range of investments, including both active and passive strategies, or even brokerage account windows providing participants wider latitude in choosing investments. Confirm the level of importance to the Retirement Investor and help them compare the investments available in each plan to assess which one best aligns with their needs.

GUARANTEED INCOME AND/OR INTEREST RATES	N/A LOW MED HIGH	New Plan	LOW MED HIGH	Moderate
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Access to guaranteed income and/or interest rate guarantees may be valuable to help manage income and/or investment risk. Confirm the level of importance to the Retirement Investor and help compare the options available in each plan to assess which one best aligns with their needs.

TAX CONSIDERATIONS	N/A LOW MED HIGH			
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Important tax considerations when evaluating whether to roll over a plan account to another plan, may include, but are not limited to, application of Required Minimum Distributions (RMDs), application of the additional 10% tax, Roth tax treatment, employer stock taxation, beneficiary implications and more. Confirm the level of importance to the Retirement Investor and help evaluate whether which plan best aligns with their needs.

DISTRIBUTION CONSIDERATIONS	N/A LOW MED HIGH			
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Some plans may offer a wide range of distribution options while others may offer more limited options. Confirm the level of importance to the Retirement Investor and help evaluate which plan best aligns with their needs.

OTHER CONSIDERATIONS	N/A LOW MED HIGH	New Plan	LOW MED HIGH	Low
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Confirm whether the Retirement Investor has other needs that are not captured above, and, if so, document them and help evaluate which plan best aligns their need(s).

PLAN TO PLAN ANALYSIS

Analysis completed on 03/06/2023. Report generated on 03/06/2023. Analysis ID: 87752.

Jane Doe

DECISION FACTORS: DETAIL SUMMARY

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.

AVAILABLE SERVICES MODERATE ALIGNMENT WITH NEW PLAN

INVESTOR NEEDS

✓ Professional discretionary investment management.

CURRENT ACCOUNT FEATURES

✓ Ongoing investment advice.

AVAILABLE INVESTMENTS LOW ALIGNMENT WITH PLAN

INVESTOR NEEDS

No Investor Needs Selected

CURRENT ACCOUNT FEATURES

✓ Actively managed mutual funds and/or ETFs.

✓ Passively managed mutual and/or ETFs.

✓ Investments that align with values (e.g., ESG).

GUARANTEED INCOME AND/OR INTEREST RATES MODERATE ALIGNMENT WITH NEW PLAN

INVESTOR NEEDS

✓ Guaranteed withdrawal benefits.

CURRENT ACCOUNT FEATURES

✓ Guaranteed investment returns.

✓ Guaranteed withdrawal benefits.

OTHER CONSIDERATIONS LOW ALIGNMENT WITH NEW PLAN

INVESTOR NEEDS

✓ Sever the relationship with the prior employer.

CURRENT ACCOUNT FEATURES

Not Applicable

PLAN TO PLAN ANALYSIS

FEE COMPARISON

\$1,000,000.00

CURRENT ACCOUNT BALANCE

PLAN

\$4,600.00 / 0.46%

BENCHMARK ALL-IN-COST (ANNUAL)

BENCHMARK

BROADRIDGE FINANCIAL SOLUTIONS, INC. RETIREMENT SAVINGS PLAN

BROADRIDGE FINANCIAL SOLUTIONS, INC.

331151291

NEWARK, NJ

PLAN YEAR: 2021 | \$1,695,030,098.00 | 7209

PARTICIPANTS

PLAN SIZE RANGE	PERCENTAGE	AVERAGE ACCOUNT BALANCE
250 mil - 10000 bil	0.46%	\$250k

Benchmark Cost Methodology

Benchmark statistics were last updated on 01/12/2023

Your most recent plan balance and number of participants were retrieved from the DOL 5500 database. These figures were then used to determine the peer group your plan fits in. For example, larger plans with more assets typically have lower costs than smaller plans. If your plan could not be found in the 5500 database, the peer group denoted above was manually selected by your advisor based on a best estimate given your knowledge of the plan size.

In either case, once we have the peer group, we are then able to determine a benchmark cost using the Broadridge Fi360 Solutions benchmarking dataset. Broadridge separately evaluates the three core cost components of a plan (investment option fees, investment advisory fees and recordkeeping/other fees) and then adds these together to arrive at a total plan benchmark for each peer group. The underlying data used in the benchmarks is derived from a combination of monthly recordkeeper data feeds and recordkeeper RFPs (request for proposals) managed through the Broadridge software.

NEW PLAN

\$4,600.00 / 0.46%

ESTIMATED ANNUAL ALL-IN-COSTS

NO ESTIMATED
ONE-TIME CHARGES

PLAN TO PLAN ANALYSIS

Analysis completed on 03/06/2023. Report generated on 03/06/2023. Analysis ID: 87752.

Jane Doe

NAME OF INDIVIDUAL: Jane Doe

INDIVIDUAL EMPLOYMENT STATUS: Yes

RETIREMENT INVESTOR ATTESTATION

Language truncated for sample purposes