



CONTACT ACCOUNTS
 P: 303-797-9080 x1620
 E: accounts@leadersgroup.net

26 West Dry Creek Circle
 Suite 800
 Littleton, CO 80120

BEST INTEREST DISCLOSURE

FOR RETIREMENT ACCOUNTS ROLLOVER/TRANSFERS

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 and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money 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.

CLIENT NAME:

DATE OF RECOMMENDATION

IMPARTIAL CONDUCT STANDARD #1 - BEST INTEREST

REASON FOR ROLLOVER/ TRANSFER:	Retirement	Company Closure / Layoff	In-Service Distribution – If checked, has the Client reached age 59 ½?		
	Change of Employment	Termination of Retirement Plan	Yes	No	
	Other (please describe)				

CURRENT PORTFOLIO

Describe how the retirement assets are currently invested.

RECOMMENDATIONS

Summarize the recommendation and address the services that will be provided and consider the following:

- The alternatives to the rollover/transfer including maintaining assets in the current plan, transferring to a new employer’s plan, taking a distribution (taxes and penalties may apply).
- The fees associated with both the current plan and the proposed new account.
- Whether the employer pays for some or all of the plan’s administrative expenses.
- The different levels of services and investments available under the plan and the proposed new account.

CLIENT’S REASON(S) FOR THE ROLLOVER/TRANSFER

Document the reasons why the recommendation(s) is in the best interest of the retirement investor.

- | | | |
|---|-----|----|
| 1. Does not wish to leave assets with former employer or employer is terminating the plan _____ | Yes | No |
| 2. Dissatisfied with the limited investment options _____ | Yes | No |
| 3. Dissatisfied with the performance of the investment alternatives _____ | Yes | No |
| 4. Would like a lifetime income option _____ | Yes | No |
| 5. Would like to consolidate assets _____ | Yes | No |
| 6. Wants more direct control over the assets _____ | Yes | No |
| 7. Prefers to have professional advice/management _____ | Yes | No |
| 8. Would like to have more holistic planning services for other matters _____ | Yes | No |
| 9. Other (describe below) | | |

IMPARTIAL CONDUCT STANDARD #2 - REASONABLE COMPENSATION

The second impartial conduct standard mandates that advisers receive reasonable compensation for their services and includes both direct and indirect compensation. Reasonable means the compensation cannot be excessive and does not mandate that compensation be the lowest possible. Compensation must be judged in the context of the services provided; therefore, higher compensation may be reasonable for more comprehensive and detailed services. Whether or not compensation is reasonable depends on how it compares to alternatives. Justify how the compensation for the recommendations is reasonable in light of the proposed services and alternatives. Document the justification for the fees below.

IMPARTIAL CONDUCT STANDARD #3 - NO MISLEADING STATEMENTS (FOR ADVISER ONLY)

Advisers must not make misleading statements about investment transactions, compensation, and conflicts of interest. Do you (the Adviser) attest that no misleading statements were made in discussions with the retirement investor? Yes

If you have any questions regarding this attestation, please speak with the TLG Advisors Compliance department.



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ATTESTATION

This Best Interest Disclosure is intended to supplement other required disclosures such as Form CRS and the Form ADV Part 2A brochure. By signing below we affirm receipt of these required disclosures.

If I am a participant in a plan where the Adviser is a fiduciary to the plan, the decision to take the distribution/rollover to an IRA is solely my decision and I was not influenced by the Adviser's role as a fiduciary to the plan.

I acknowledge that Adviser's recommendation entails compensation which presents a conflict of interest, however, this recommendation is intended to comply with the impartial conduct standards.

CLIENT SIGNATURE DATE

JOINT CLIENT SIGNATURE DATE

IAR SIGNATURE DATE