



RETIREMENT ACCOUNT ROLLOVER PTE 2020-02 EXEMPTION DISCLOSURES

When our firm is providing investment advice regarding a retirement plan account or individual retirement account, we act as a fiduciary within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code.

Under this special rule’s provisions, we must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- 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.

<p>Factors to consider in determining if a rollover is in your best interest.</p> <p>Discussion of these factors with your investment advisor will be crucial to our ability to provide you with prudent advice.</p>	<p>Your alternatives to a rollover,</p> <p>include leaving the money in the investor’s employer’s plan, if permitted</p> <p>A comparison of the fees and expenses associated with both your existing plan and the new IRA</p> <p>Determining whether your employer pays for some or all of the plan’s administrative expenses</p> <p>A comparison of the levels of service and investments available under each option</p>	<p>Your individual needs and circumstances will determine if a rollover is in your best interest, however these are some common situations you may find yourself encountering:</p> <ul style="list-style-type: none"> - Does not wish to leave assets with former employer or employer is terminating the plan - Dissatisfied with the limited investment options - Dissatisfied with the performance of the investment alternatives - Would like a lifetime income option - Would like to consolidate assets - Wants more direct control over the assets - Prefers to have professional advice/management - Would like to have more holistic planning services for other matters
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<p>Information required to determine if a rollover is your best interest.</p> <p>Please provide the following information to your investment advisor, so that they may make a reasonable recommendation.</p>	<p>All information regarding your current financial situation and investment goals.</p> <p>To the extent practicable, information about your current 401(k) plan or existing IRA. The relevant information including:</p> <ul style="list-style-type: none"> - Your current plan/account's fees and expenses. - Your current plan/account's services - Your current plan/account's investment options 	<p>Advisors will attempt, to the best of their abilities and information, to educate you on options regarding the assets in a 401(k) plan, as well as the advantages and disadvantages of a 401(k) to an IRA rollover, or from IRA to IRA rollover, as applicable.</p>
<p>Disclosure of any conflicts of interest and other related information.</p>	<p>Compass Capital Corporation is a SEC-registered investment advisor and all disclosures Form ADV, regarding conflicts of interest, Code of Ethics and Form CRS are available at anytime for download from our website under "disclosures" at www.compassfinancialservicesgroup.com</p>	

Please acknowledge that you have read and understand your options in the event that you engage in a Retirement account Rollover or IRA transfer that falls under the Prohibited Transaction Exemption 2020-02 (PTE 2020-02).

If you decide to engage in a retirement account rollover or IRA transfer, please select all of the following reasons that apply:

<input type="checkbox"/> Do not wish to leave assets with former employer or employer is terminating the plan	<input type="checkbox"/> Dissatisfied with the limited investment options
<input type="checkbox"/> Dissatisfied with the performance of the investment alternatives	<input type="checkbox"/> Would like a lifetime income option
<input type="checkbox"/> Would like to consolidate assets	<input type="checkbox"/> Want more direct control over the assets
<input type="checkbox"/> Prefer to have professional advice/management	<input type="checkbox"/> Would like to have more holistic planning services for other matters

Other:

[Client Signature] [Date]