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| **UNSOLICITED TRANSACTION - CLIENT ATTESTATION** |
| Client Name: | Account: |

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| With respect to rolling over my plan assets, or completing an IRA Transfer, into a managed IRA account, I understand and acknowledge the following: |
|  | **CLIENT INITIALS** |
| My advisory firm will receive additional management fees from me if I place these retirement assets under their management. |  |
| The fees of the underlying investments utilized by my advisory firm may have higher (or lower) expenses than those charged by my employer sponsored plan or existing IRA.  |  |
| Before moving funds to my advisory account, I reviewed my other options for these assets including: 1) leaving them in the current plan2) rolling them over to another employer plan3) moving them to an unmanaged account with a financial institution4) moving them to another advisor.  |  |

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| **CLIENT SIGNATURE AND CCO REVIEW** |
| By signing below, I attest that my advisor did not provide me with advice or recommendations regarding the rollover of plan assets or IRA transfer. I have independently, on an unsolicited basis, determined that I wish to proceed with transferring the assets to an investment advisory account for active management. |
| Client Signature: | Date: |
| CCO Review: | Date: |