

# IRA Plan Indication of Interest Form



\_\_\_\_\_  
Name

\_\_\_\_\_  
Firm/Company Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Address

\_\_\_\_\_  
City State Zip

\_\_\_\_\_  
Telephone Number Ext. Email

\_\_\_\_\_  
Broker Dealer

Years as Financial Advisor \_\_\_\_\_

### Compensation

What type of compensation do you plan to receive?

- Fee Based    Commission (12b-1) Based

### Plan Management

How Many SIMPLE IRA plans do you currently manage?

\_\_\_\_\_  
Total Assets # of Plans Total Participants