



Investment Advisory Services Agreement Termination

Please send completed form to: PlanMember Securities Corporation • 6187 Carpinteria Ave • Carpinteria, CA 93013 • (800) 874-6910

This form must be completed in its entirety and must be accompanied by a signed Letter of Acceptance. All paperwork must be in good order before account can be transferred per your instructions.

At PlanMember Services, our mission is to continually exceed the service expectations of our valued members. We greatly appreciate your participation in the PlanMember Services Program and are disappointed to learn that you wish to transfer your PlanMember account. We often find a member’s desire to leave the PlanMember Program is due to either a misunderstanding or a lack of awareness of the comprehensive product selection and membership services available through the PlanMember Program. **Before you transfer your account, we would like to summarize the many valuable benefits that you will relinquish. We also ask that you take a moment to tell us why you are considering an account transfer so that we may continue to improve our program services.**

A COMPREHENSIVE SELECTION OF INVESTMENT OPTIONS¹

Did you know that the PlanMember Services Program offers a comprehensive collection of investment options? You can invest in a professionally managed PlanMember Asset Allocation Portfolio that consist of no-load and load-waived mutual funds² from American Funds, Vanguard, T. Rowe Price and Dodge & Cox. You can also select from guaranteed fixed annuity options³ or can choose a self-directed or representative-assisted mutual fund account and select from more than 600 mutual funds from over 20 of the nation’s most recognized fund families.

GUARANTEED FIXED GROWTH OPTIONS³

Did you know that the PlanMember Services Program offers a variety of fixed annuity options that provide guaranteed interest rates³ and help protect against stock market volatility?

A TIME-TESTED APPROACH TO RETIREMENT INVESTING

Did you know that the PlanMember Asset Allocation Portfolios are managed according to the same time-tested approach to retirement investing employed by the nation’s largest pension plans? These broadly diversified portfolios are actively managed according to a disciplined process designed to take emotions such as fear or greed out of the process and help you avoid common investor mistakes that can undermine long-term success.

1. All options not available through all employer plans.
2. An annual asset-based fee will apply as well as other internal expenses and fees of the funds.
3. Guarantees and benefits are subject to the claims-paying ability of the underlying insurance company.

THE ABILITY TO CONSOLIDATE YOUR INVESTMENTS

Did you know that the comprehensive collection of investment options available through PlanMember Services Program provides you with the ability to consolidate all of your retirement investments? You can combine growth-oriented investments with guaranteed fixed accounts on one application and receive a single consolidated account statement detailing all of your investments. You can also benefit from a toll-free participant service center, personal representative support and online resources and account information for all of your retirement investments.

A PRINCIPAL PROTECTION STRATEGY

Did you know that your PlanMember Representative can help you develop a principal protection strategy that combines a guaranteed fixed annuity³ with a diversified managed growth portfolio? This strategy is designed to help ensure that at least your investment principal is available when you retire even if the stock market under performs.

A PROVEN APPROACH TO RETIREMENT PLANNING

Did you know that the PlanMember Services Program provides a proven approach to retirement planning through a simple four-step process that includes a personalized plan and savings analysis, professional investment advice, annual retirement plan review and ongoing communication services? These valuable membership services are designed to take the guess work out of retirement planning and provide you with the foundation to achieve a financially secure retirement.

Section One Participant Information

Participant Name _____ Last three digits of SSN ____ _

Account #(s) _____

Section Two Reason(s) for Account Termination

We value your opinion. If you elect to continue with your account transfer, please share with us the reasons for moving your account assets. Please check all that apply.

- Consolidation of accounts
- Safety, guaranteed return
- Uncertainty of market
- Fees and expenses
- Change of investment objectives
- Specific product need (please specify): _____
- Performance
- Fund choices
- Representative or PlanMember related issues (please specify): _____
- Other (please specify): _____

Section Three

*Participant
Reconsideration
Statement*

*(Complete only if
not transferring)*

Check one or both below if you have decided NOT to transfer your account:

- After reviewing this form I am rescinding my decision to terminate my account with PlanMember Securities Corporation.
- I would like you to contact me at _____ to discuss my program needs for the following reasons: phone number

Participant Signature _____ Date _____

Section Four

*Participant Signature
and Acknowledgement
(Required)*

By signing below, I acknowledge that I am forfeiting the benefits of participation with PlanMember Securities and terminating my Investment Advisory Services Agreement with PlanMember Securities Corporation. I further understand that:

1. I may incur a surrender charge if I transfer my PlanMember Securities account(s), depending on the share pricing option I originally selected, and
2. I am subject to a \$50 account termination fee.
 - Please close my account and do not accept future contributions received after distribution into this account. Please return to payor.
3. I am aware that PlanMember Securities will provide me with a new representative to service my current account upon my request and that I may retain the current services described on the front page.

Participant Signature _____ Date _____

Please return this form promptly. If we do not receive this signed form, we cannot process your request and will assume that you no longer wish to transfer your account.

**FOR REPRESENTATIVE
OR SERVICE CENTER
USE ONLY**

*Letter of Instruction –
PlanMember
Representative only*

Kindly be advised that this is a PlanMember Securities Registered Representative directed exchange/plan to plan transfer or direct rollover request. Please contact me directly prior to rejecting the paperwork and/or contacting my client.

Representative Name/Number _____

Phone Number to be reached at _____

Representative's Signature _____ Date _____

Check List

- Exchange/Plan to Plan Transfer/Direct Rollover
- Letter of Acceptance (from successor custodian)
- Investment Advisory Fee Services Termination Agreement (if applicable)
- Representative Initiated Transfer Form