Plan-to-IRA Rollover: Client Acknowledgement & Signature

If you choose to roll over your savings in a 401(k), 403(b) or other employer-sponsored retirement plan to an individual retirement account (IRA) with Mariner Wealth Advisors, by signing below you represent and acknowledge the following:

- Any arrangement to invest rollover proceeds will be accompanied by additions to or a new investment advisory agreement, which will contain information about how Mariner Wealth Advisors and its advisory affiliates will be compensated for services provided to my rollover IRA.
- I understand the options I have available for my retirement plan account, and I have had the opportunity to ask questions of my professional legal and tax advisors, as I deemed appropriate.
- **It is my independent decision to roll over my retirement plan account assets to an IRA with Mariner Wealth Advisors. Mariner Wealth Advisors and my individual wealth advisor have not made any recommendation to me to take a distribution from the retirement plan account listed below, and/or to roll it over to an IRA.**

____
Client Name (Printed)

____
Retirement Plan Name

____ ______________________________
Client Signature Date