3(38) Investment Manager Services

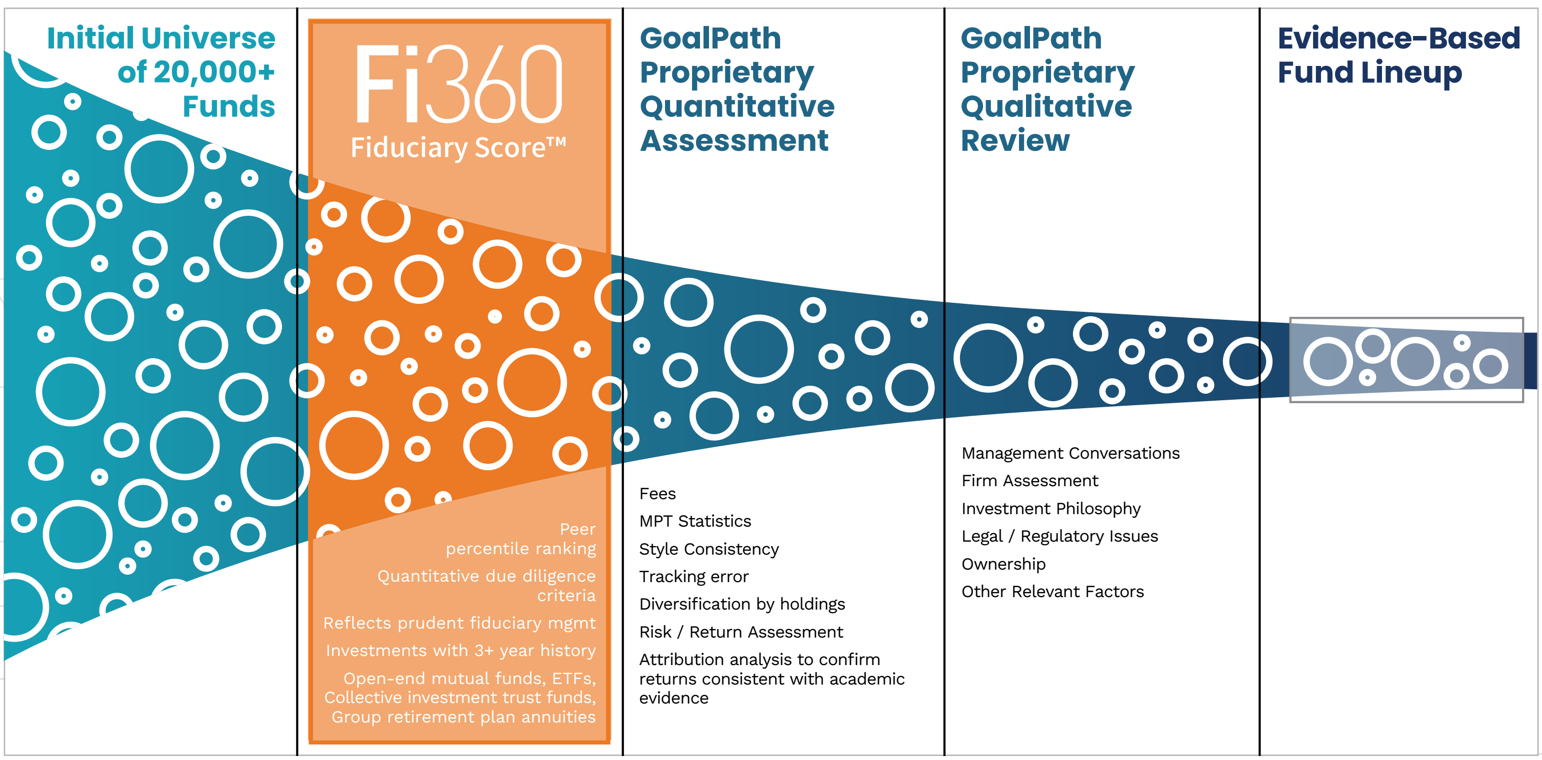
How We Support You

As a 3(38) fiduciary partner, our goal is to help you and your clients deliver a retirement plan experience that drives real value. From investment management to financial education and coaching, our entire business model is designed to support yours.

Our Investment Philosophy

As you might expect, we have a robust philosophy and process that we use everyday in screening, scoring, and selecting investments that are appropriate for your retirement plan. They include both quantitative and qualitative factors as we review and monitor short- and long-term performance.

As a 3(38) Investment Manager, we're responsible for choosing and monitoring investments that provide the quality and diversification participants rely on in making their own allocation choices.



Reports You Can Expect Each Quarter

Every quarter we share information and insights with you and your clients about the performance of the funds. Our goal is to make it easy for you to understand our process and to help you fulfill your oversight responsibilities.

For Advisor Use Only

GoalPath 3(38) Services

Our 3(38) services are designed to help you deliver more value.

Services Include:

Fiduciary Investment Management
Evidence-based fund lineup management

Fiduciary Training and Certification
Quarterly fiduciary training, certification, and completion tracking

Quarterly Investment Reports
Ongoing investment due diligence

Fiduciary Vault
Plan reporting archive for audits and quick reference

Digital Fiduciary Plan Reviews
Client ready plan reviews that incorporate your brand

Share Class Analysis
Monitoring for appropriate share classes

Provider Benchmarking
Adherence to DOL best practices

Talk to Us About:

Financial Wellness Programs
Basic financial planning and education for all employees

Managed Accounts
Custom "do-it-for-me" strategies for each participant

Direct Plan Consulting
An expert team to help you land larger retirement plans

Wealth Management Lead Generation
Referrals to individuals that need advanced financial planning

Custom Target Date CITs
QDIA comprised of best-in-class funds with triple glidepaths

Practice Management Consulting
Guidance and coaching to power your retirement plan growth

Sales Tools and Training
Proven marketing strategies to help you land new business

Digital Advisory Services
Helping you serve wealth management accounts under your minimums

Pooled Plan Solutions
MEPs, PEPs, Exchanges, ... we have them!

GoalPath *Select Recordkeeper* Pooled Plan Solutions

Advantages: Economies of scale, negotiated provider fees, dedicated service teams

Record-keeper	Type	Ideal Client	3(16) Service	3(38) Service	Managed Accounts	Financial Wellness
Transamerica	401(k), 403(b) MEAP	Small plans and startups	Required (3 options)	Set Core Lineup	No	Optional
TIAA	403(b), non-profit 401(k) Open MEP	Private colleges, universities, high schools, hospitals/ medical centers	Required	Set Core Lineup	No	Optional
Empower	401(k), 403(b) on Select Platform	All plans	Required	Set Core Lineup	Optional	Optional
BlueStar/Ameritas	401(k), 403(b) Traditional Platform	All plans	Optional	Set Core Lineup	Included	Included

GoalPath *Preferred Recordkeeper* Programs

Advantages: fund lineup flexibility, provider scale and service

<table>
<tr><th></th><th>Type</th><th>Ideal Client</th><th>3(16) & TPA Services</th><th>Funds</th></tr>
<tr><td>Fidelity</td><td rowspan="5">Ideal for any plan type</td><td rowspan="5">Startups, micro, small, medium and large plans; public and private sector</td><td rowspan="5">Optional</td><td rowspan="5">Choice of over 70 funds from the GoalPath list of 3(38) covered funds to build a core lineup</td></tr>
<tr><td>Vanguard (VPRA)</td></tr>
<tr><td>Newport Group</td></tr>
<tr><td>Empower</td></tr>
<tr><td>BlueStar/Ameritas</td></tr>
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Don't see your record-keeper of choice... don't worry...

GoalPath works with most recordkeeping platforms. Let us know if you have a preferred record-keeper and we would be happy to discuss.

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GoalPath SOLUTIONS