

# NAVIGATING CAPTRUST DIRECT

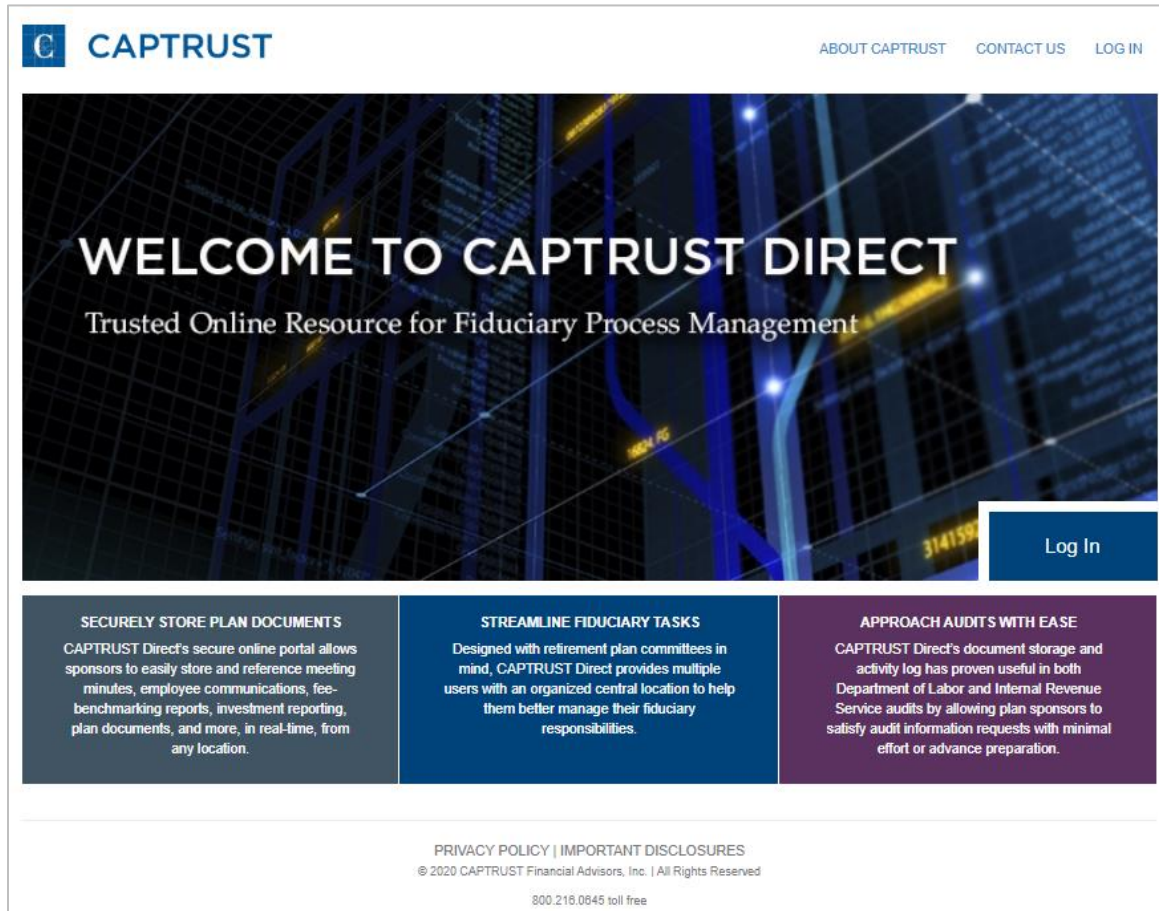
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Presented by  
CAPTRUST Financial Advisors



# Introduction

Visit the home page online at [www.captrustdirect.com](http://www.captrustdirect.com)



The screenshot shows the CAPTRUST Direct website. At the top left is the CAPTRUST logo. To the right are links for 'ABOUT CAPTRUST', 'CONTACT US', and 'LOG IN'. The main banner features a blue and black background with a grid pattern and glowing lines, with the text 'WELCOME TO CAPTRUST DIRECT' and 'Trusted Online Resource for Fiduciary Process Management'. A 'Log In' button is in the bottom right of the banner. Below the banner are three columns of text describing the platform's features: securely storing plan documents, streamlining fiduciary tasks, and approaching audits with ease. At the bottom, there are links for 'PRIVACY POLICY | IMPORTANT DISCLOSURES', a copyright notice for 2020 CAPTRUST Financial Advisors, Inc., and a toll-free phone number.

**CAPTRUST**

ABOUT CAPTRUST CONTACT US LOG IN

## WELCOME TO CAPTRUST DIRECT

Trusted Online Resource for Fiduciary Process Management

Log In

**SECURELY STORE PLAN DOCUMENTS**  
CAPTRUST Direct's secure online portal allows sponsors to easily store and reference meeting minutes, employee communications, fee-benchmarking reports, investment reporting, plan documents, and more, in real-time, from any location.

**STREAMLINE FIDUCIARY TASKS**  
Designed with retirement plan committees in mind, CAPTRUST Direct provides multiple users with an organized central location to help them better manage their fiduciary responsibilities.

**APPROACH AUDITS WITH EASE**  
CAPTRUST Direct's document storage and activity log has proven useful in both Department of Labor and Internal Revenue Service audits by allowing plan sponsors to satisfy audit information requests with minimal effort or advance preparation.

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CAPTRUST Direct is a secure, online fiduciary resource center. It provides retirement plan sponsors with online documentation of the fiduciary management process, real-time access to investment research, updates, and reports. It also contains a repository of key plan documents for easy retrieval on demand.

# Logging In

Enter your email and password to access your plan

**CAPTRUST**

ABOUT CAPTRUST CONTACT US LOG IN

**WELCOME TO CAPTRUST DIRECT**  
Trusted Online Resource

**Sign In**

Email

Password

☐ Remember me

**Sign In**

Need help signing in?

**Log In**

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Powered by CAPTRUST's client relationship management software, CAPTRUST Direct gives plan sponsors instant access to plan-related documentation, regardless of location or number of users.

CAPTRUST Direct also provides plan fiduciaries with a direct link to CAPTRUST's analysts, advisors, and client service personnel.

# CAPTRUST Direct First Time User - Introduction Email

- First Time User – Introduction Sample Email



Welcome.

Please click the link below to access your CAPTRUST portal account.

Once you click the link, you will be prompted to create a password and complete your security profile.

**ACCESS HERE**

This link expires in 30 days.

If you feel you have received this email in error, please contact your CAPTRUST financial advisor or call 800-967-9948 for Retirement Blueprint® questions.

Thank you.


*This is an automatically generated message from CAPTRUST. Replies are not monitored or answered.*





# Navigating CAPTRUST Direct | Investments

## Plan investment values and quarterly reviews



ABOUT CAPTRUSTCONTACT USMY ACCOUNTLOG OUT

INVESTMENTSRESEARCHCOMMUNICATIONSSERVICE PARTNERSDOCUMENTS

Welcome: CAPConnect User  
The Sample Demo Company Retirement Plan  
Last Login: 11:51 AM EDT on 7/21/2020

GOOD STANDINGMARKED FOR REVIEWCONSIDERED FOR TERMINATIONNOT APPLICABLE

IMAGESSCORES

Quarter 1, 2020

	PERFORMANCE				STYLE		CONFIDENCE		FUND MGMT	FUND FIRM	TOTAL SCORE			
	Risk Adj		vs Peers											
	3 yr	5 yr	3 yr	5 yr	3 yr	5 yr	3 yr	5 yr						
Metropolitan West Total Return Bd Plan	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD			
JHancock Disciplined Value R6	MARKED	MARKED	MARKED	MARKED	GOOD	GOOD	MARKED	MARKED	GOOD	GOOD	MARKED			
Harbor Capital Appreciation Instl	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD			
MFS Mid Cap Value R6	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD			
MassMutual Select Mid Cap Growth I	MARKED	GOOD	MARKED	GOOD	GOOD	GOOD	MARKED	GOOD	GOOD	GOOD	GOOD			
American Funds Europacific Growth R6	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD	GOOD			
Victory Integrity Small-Cap Value R6	MARKED	MARKED	MARKED	MARKED	GOOD	GOOD	MARKED	MARKED	GOOD	GOOD	CONSIDERED			
Carillon Eagle Small Cap Growth R6	MARKED	MARKED	MARKED	MARKED	GOOD	GOOD	MARKED	MARKED	GOOD	GOOD	MARKED			

QUANTITATIVE

PERFORMANCE

Risk Adjvs Peers

GLIDEPATH

PORTFOLIO CONSTRUCTION

QUALITATIVE

UNDERLYING INVEST. VEHICLES

FUND MGMT

FUND FIRM

TOTALS

TOTAL SCORE

The INVESTMENTS tab provides access to plan Investment Values and your plan's Quarterly Review as of the most recent quarter end.

If you are responsible for multiple plans, you can toggle between them by clicking on Plan Selection.

# Navigating CAPTRUST Direct | Research

Thought leadership from CAPTRUST and select outside sources

The screenshot shows the CAPTRUST Direct interface. At the top, the CAPTRUST logo is on the left, and navigation links for 'ABOUT CAPTRUST', 'CONTACT US', 'MY ACCOUNT', and 'LOG OUT' are on the right. Below this is a dark navigation bar with tabs for 'INVESTMENTS', 'RESEARCH' (highlighted with a red box), 'COMMUNICATIONS', 'SERVICE PARTNERS', and 'DOCUMENTS'. A welcome banner for 'CAPConnect User' of 'The Sample Demo Company Retirement Plan' is displayed, showing the last login time as 11:51 AM EDT on 7/21/2020. Below the banner is a table with two columns: 'Description' and 'Author'. The table lists two items: 'CAPTRUST Investment Strategy' and 'CAPTRUST Market Thoughts', both authored by 'CAPTRUST'. At the bottom, there is a footer with links for 'PRIVACY POLICY' and 'IMPORTANT DISCLOSURES', copyright information for 2020, and a toll-free number: 800.216.0645.

Description	Author
<a href="#">View</a> CAPTRUST Investment Strategy	CAPTRUST
<a href="#">View</a> CAPTRUST Market Thoughts	CAPTRUST

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The RESEARCH tab provides access to articles and updates written by CAPTRUST, including Plan Sponsor e.Briefs, Market Thoughts, Fiduciary Updates, and Investment Strategy updates.

In addition, you will find articles from select outside sources we think you will find helpful and informative.

# Navigating CAPTRUST Direct | Communications

Storage for notices *(if applicable)*

The screenshot shows the CAPTRUST Direct user interface. At the top, the CAPTRUST logo is on the left, and navigation links for 'ABOUT CAPTRUST', 'CONTACT US', 'MY ACCOUNT', and 'LOG OUT' are on the right. Below this is a horizontal menu with five tabs: 'INVESTMENTS', 'RESEARCH', 'COMMUNICATIONS' (highlighted with a red border), 'SERVICE PARTNERS', and 'DOCUMENTS'. A dark blue banner below the menu displays 'Welcome: CAPConnect User' and 'The Sample Demo Company Retirement Plan'. On the right side of the banner, it says 'Last Login: 1:17 PM EDT on 7/22/2020'. The main content area features a table with two columns: 'Description' and 'Created On'. A single row is visible with the description 'Participant Fund Change Notice' and the date '02/29/2016'. A 'View' link is positioned to the left of the description. At the bottom of the page, there is a footer containing 'PRIVACY POLICY | IMPORTANT DISCLOSURES', '© 2020 CAPTRUST Financial Advisors, Inc. | All Rights Reserved', and the toll-free number '800.216.0645'.

Description	Created On
<a href="#">View</a> Participant Fund Change Notice	02/29/2016

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The COMMUNICATIONS tab provides access to notices, if applicable.

Just a few of the possible document types stored under Communications are fund change notice(s) and annual QDIA notices.



# Navigating CAPTRUST Direct | Service Partners

## Contact information for your client service team




ABOUT CAPTRUSTCONTACT USMY ACCOUNTLOG OUT


INVESTMENTSRESEARCHCOMMUNICATIONSSERVICE PARTNERSDOCUMENTS

Welcome: CAPConnect User  
The Sample Demo Company Retirement Plan


Last Login: 11:51 AM EDT on 7/21/2020




**Michael E. Hudson, AIF®**  
Senior Director | Institutional Consulting  
Mike.Hudson@captrust.com  
As senior director of institutional consulting within the advisor support group, Mike works with our team of financial advisors to support their growth and consulting efforts. With a focus on institutional clients, Mike helps financial advisors develop processes for best fiduciary practices and client service. Mike is a highly respected and industry leading financial advisor with over 20 years of investment consulting and financial services experience, providing investment advisory services to fiduciaries of corporate retirement plans and high net worth individuals. Mike graduated from East Carolina University with a Bachelor of Science, Business Administration degree in marketing. He is an Accredited Investment Fiduciary (AIF®) by the Center for Fiduciary Studies in association with the University of Pittsburgh Katz School of Business. Mike was awarded CAPTRUST Advisor of the Year in 2008 as well as CAPTRUST Rainmaker Award in 2004 and 2006.



**Kimberly Cloud**  
Senior Client Management Consultant  
Kimberly.Murdock@captrust.com  
Kimberly joined CAPTRUST in 2016 and serves as a senior client management consultant, responsible for client management from initial conversion of new plans to CAPTRUST throughout their 'life' at CAPTRUST, and deliver exceptional proactive client service. Prior to joining the firm, Kimberly worked as a conversion specialist/compliance analyst at Newport Group and has worked in the industry since 1997. Kimberly received a Bachelor of Arts degree in Mathematics from ELON University, and holds a Qualified Pension Administrator (QPA) and Qualified 401(k) Administrator (QKA) designation.



**Scott Matheson**  
Managing Director  
Scott.Matheson@captrust.com  
Scott heads up the Client Solutions Group and works out of the Raleigh, North Carolina, office. Scott joined CAPTRUST in 2007 and is currently a managing director, head of client solutions. Prior to joining the firm, Scott served as an institutional salesperson on a fixed income trading desk for Citigroup's Global Investment Bank in New York, New York. Scott has worked in the industry since 1999. He earned his Bachelor of Science in Business Administration degree in finance from Appalachian State University and a Master of Business Administration degree from The University of North Carolina at Chapel Hill-Kenan-Flagler Business School. Scott is a Certified Public Accountant and a Chartered Financial Analyst®. He also was a recipient of the CAPTRUST MVP Brick Award in 2007 and 2009.



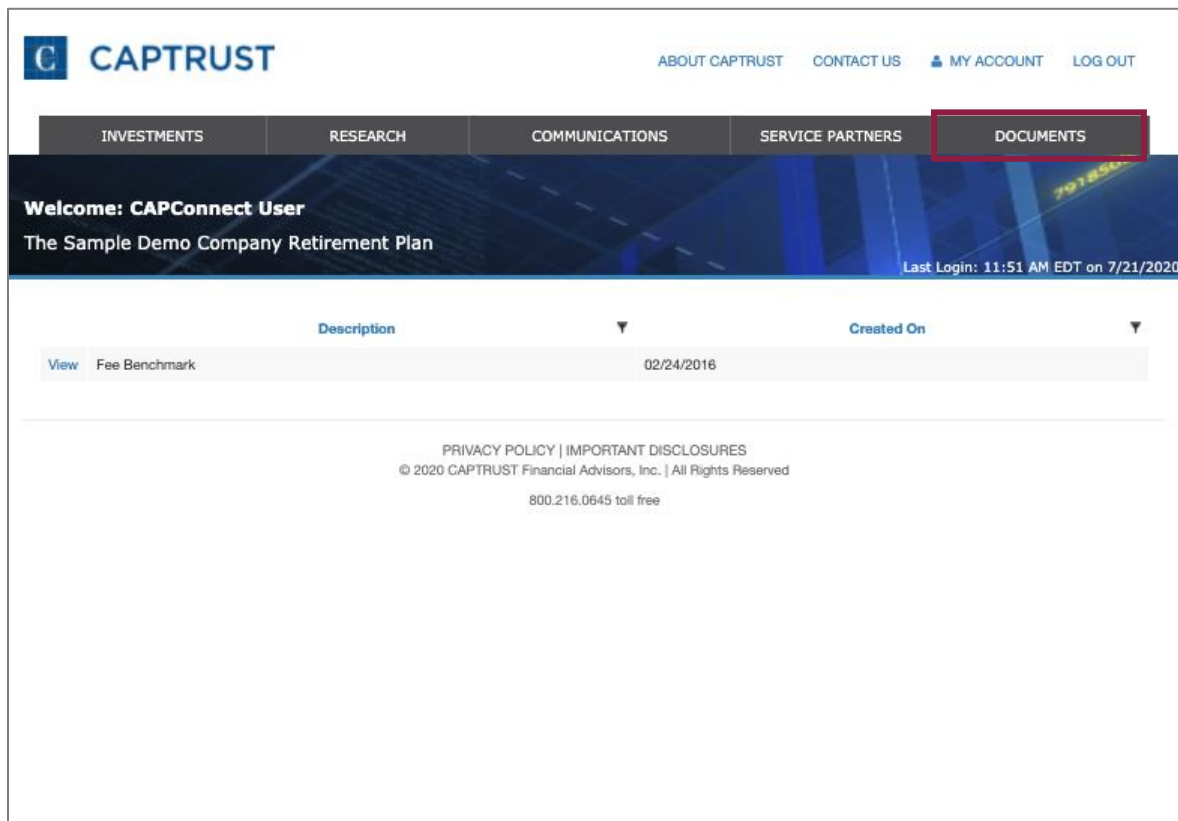
**Phyllis Klein**  
Senior Director  
Phyllis.Klein@captrust.com  
Phyllis joined CAPTRUST in 2004 as senior director in the consulting research group and is responsible for leading the firm's participant education & advice program, overseeing responsibilities over ERISA technical issues and retirement industry trends and initiatives, and ensuring that CAPTRUST continues to stay ahead of changes and developments within the retirement plan arena. Prior to joining the firm, Phyllis served as a retirement plan consultant at EMJAY Corporation and has worked in the industry since 1984. She is a graduate of the University of Wisconsin at LaCrosse with a Bachelor of Science degree in education. Phyllis holds Accredited Investment Fiduciary (AIF®) and Plan Sponsor Retirement Professional (PRP) designations.

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The SERVICE PARTNERS tab provides biographies and contact information for your retirement plan's client service team, including your financial advisor, client management consultant, investment analysts, and provider relationship managers.

# Navigating CAPTRUST Direct | Documents

Storage for important plan documents



The screenshot displays the CAPTRUST Direct user interface. At the top, the CAPTRUST logo is on the left, and navigation links for 'ABOUT CAPTRUST', 'CONTACT US', 'MY ACCOUNT', and 'LOG OUT' are on the right. Below this is a dark navigation bar with tabs for 'INVESTMENTS', 'RESEARCH', 'COMMUNICATIONS', 'SERVICE PARTNERS', and 'DOCUMENTS'. The 'DOCUMENTS' tab is highlighted with a red border. Below the navigation bar, a welcome message reads 'Welcome: CAPConnect User' and 'The Sample Demo Company Retirement Plan'. To the right of the welcome message, it says 'Last Login: 11:51 AM EDT on 7/21/2020'. Below the welcome message is a table with two columns: 'Description' and 'Created On'. The table has one row with the text 'View Fee Benchmark' and the date '02/24/2016'. At the bottom of the page, there is a footer with the text 'PRIVACY POLICY | IMPORTANT DISCLOSURES', '© 2020 CAPTRUST Financial Advisors, Inc. | All Rights Reserved', and '800.216.0645 toll free'.

The DOCUMENTS tab provides access to important documents such as your plan's contract service agreement, investment policy statement, and summary plan description.

Documents you want to securely store and have quick access to can be uploaded for your convenience.

# Navigating CAPTRUST Direct | My Account

Click on my account in CAPTRUST Direct to be redirected to OKTA to update your security settings

The screenshot shows the 'My Account' page in the CAPTRUST interface, which is part of an OKTA account management system. The page has a blue header with the CAPTRUST logo and navigation links for Home, a user profile icon, and a dropdown menu showing 'Sample'. The main content area is titled 'Account' and includes an 'Edit Profile' button. It is divided into several sections: 'Personal Information' (First name: Sample, Last name: Demo, Okta username: sampledemo4208@gmail.com, Primary email: sampledemo4208@gmail.com, Secondary email, Mobile phone), 'Change Password' (with password requirements: at least 12 characters, a lowercase letter, an uppercase letter, a number, a symbol, no parts of your username, does not include your first name, does not include your last name, and your password cannot be any of your last 5 passwords), 'Forgotten Password Question' (Select a forgotten password question so you can reset your password in case you have trouble signing in to your Okta account), 'Security Image' (Your security image gives you additional assurance that you are logging into Okta, and not a fraudulent website, with a placeholder image), 'Extra Verification' (Extra verification increases your account security when signing in to Okta and other applications you use, with options for Okta Verify, SMS Authentication, and Voice Call Authentication, all currently Disabled), and 'Display Language' (Language: English, with a note that the default language has been automatically set by your browser and can be changed in the settings).

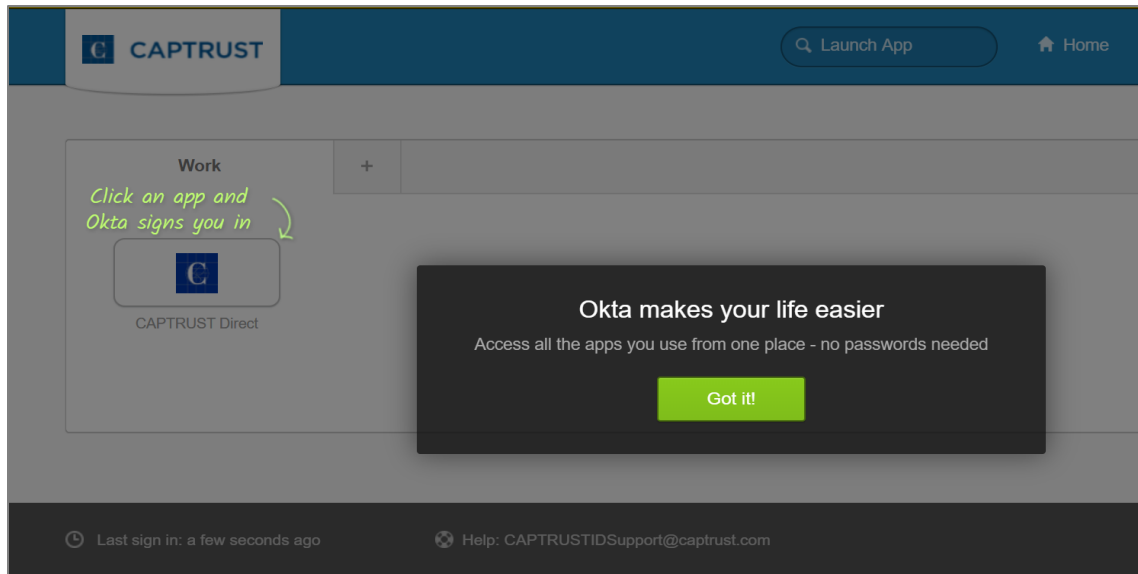
To change your password, you will be prompted to enter your old password, then your new password.

Basic security passwords must be a minimum of 12 characters and include at least one number, capitalized letter, lower-case letter and special character

Multi-Factor Authentication can be added choosing an option in the Extra Verification section.

# Navigating CAPTRUST Direct | OKTA Overview

OKTA is a cloud based, multi-factor authentication application to provide an additional layer of secure identity management



Once the User is set up with access, you can log into Okta directly at [captrustid.okta.com](https://captrustid.okta.com) where you will have access to the CAPTRUST Direct tile, which will launch the site when clicked.

In the future, if user has access to any other CAPTRUST apps that use Okta for security, additional tiles may appear.

# Navigating CAPTRUST Direct | OKTA Overview

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- **At any time, you can update your profile by clicking on your name in the header bar and choosing settings, then click Edit Profile button.**
  - You will be prompted to enter password again for an extra security check
- **The following information can be edited on the profile page:**
  - Personal Information: First name, Last name, primary & secondary emails and mobile phone
  - Change Password
  - Security Image
  - Forgotten Password Question
  - Extra Verification (Multi-Factor Authentication)
  - Forgot Password Text Message
  - Display Language



# Navigating CAPTRUST Direct | OKTA Overview

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- **The Multi-Factor Authentication can be set up for an additional security level**
  - If set up, the user will be required to enter an additional code (after email & password are authenticated) in order to access CAPTRUST Direct
  - The user will also need to enter a code when trying to change profile settings within Okta
- **Types of Multi-Factor Authentication**
  - Okta Verify: the Okta Verify app will need to be installed on the User's smartphone, when prompted, the User will be required to retrieve a code from the app and enter it before getting access to CAPTRUST Direct
  - SMS Authentication: the User will receive a code via text message, which must be entered before getting access to CAPTRUST Direct
  - Voice Call Authentication: the User will receive a phone call with a code, which must be entered before getting access to CAPTRUST Direct
  - NOTE: the User can select more than one Multi-Factor Authentication setting. If multiple types of authentication are assigned to a profile, each code must be entered before the user can get into CAPTRUST Direct

# Navigating CAPTRUST Direct | OKTA Overview

- The Multi-Factor Authentication Sample Email



Welcome Brett,

A multi-factor authenticator has been enrolled for your account  
[Brett.Burmeister@captrustadvisors.com](mailto:Brett.Burmeister@captrustadvisors.com).

Details:

(factor Placeholder)

Tuesday, July 12, 2022

(location Placeholder)

Performed by: (performedBySubject Placeholder)

Don't recognize this activity? Your account may have been compromised. We recommend reporting the suspicious activity to CAPTRUST using the button below. The security of your account is very important to us and we want to ensure that you are updated when important actions are taken.

[Report Suspicious Activity Here](#)

For further assistance, please contact CAPTRUST Information Security Team at [captrustidsupport@captrust.com](mailto:captrustidsupport@captrust.com).

This link expires in 30 days.

# Navigating CAPTRUST Direct | FAQ

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## How long does my password need to be?

Basic security passwords must be a minimum of 12 characters and include at least one number, one capitalized letter, one lower-case letter and a special character.

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## How often will I have to update my password?

You can keep your password the same for as long as you would like to have it. The only time your password will change is if you forget and reset or decide to update on your own.

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## Is there a way for me to have an additional layer of security?

Yes, click on “My Account” which is location in the upper-right side of the screen. This section allows you to add extra multi-factor authentication to your user access.

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## What browsers work best with CAPTRUST Direct?

Google Chrome and Microsoft Edge provide optimal use.

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## What is my Username?

Your username is your company email address.

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## What if I do not remember my password?

Click “Need help signing in?” which can be found underneath the blue “Sign In” button.  
Click “Forgot password?” and enter your email address, click the blue “Reset via Email” button.

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## How long does it take to receive the “Forgot password” reset email?

You should receive the email within a few minutes of requesting.

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## What if I do not receive my “Forgot password” reset email?

Please check your Spam folder and if possible, add CAPTRUST to your company’s email White List.

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