

## DEFINED CONTRIBUTION INVESTMENT RESEARCH

| RESOURCE/<br>DELIVERABLE<br>NAME | USE      | DESCRIPTION   | REQUEST<br>PROCESS/<br>ACCESS   | LEAD TIME   | PRIMARY<br>CONTACTS   |
|----------------------------------|----------|---|---|---|---|
| Fund Observations<br>"One-Pager" | Prospect | Provides details on the prospect's plan investments including performance rankings and asset allocation   | CAPConnect – workflow process, 5500   | 1 week  | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |
| Extended "Full" Analysis         | Prospect | Includes fund observations, fee analysis, investment style comments and overlap observations. There are slides specific to Freedom401k prospects. | CAPConnect – workflow process, 408(b)(2)  | 1 weeks   | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |
| Conversion Book                  | Client   | Includes current vs recommended lineups , along with mapping strategies, comparisons and factsheets.  | CAPConnect – workflow process, DC Transition Checklist, 408(b)(2), Asset Values | 2 -3 weeks after the professional service tasks are completed | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |

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| Fund Comparison                  | Client | Manager replacements and comparisons   | CAPConnect – workflow process                             | 1 week                               | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |
| Target Date Fund Comparison      | Client | Includes analysis of TDF risk/returns and glide path management (Passive vs Active, To vs Through)                   | CAPConnect – workflow process, TDF survey on Survey Money | 1 week from when survey is completed | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |
| Fee Analysis                     | Client | Compare and discuss different methods of paying for administrative fees. Before and after expense analysis included. | CAPConnect – workflow process, 408(b)(2), Asset Values    | 1 week                               | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |

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| Stable Value<br>Comparison       | Client | Compares CIT stable value options to one another using historical metrics and CAPTRUST median statistics.   | CAPConnect – workflow process | 1 week    | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |
| Asset Class “Stair-step” Chart   | Client | Gives a proposal for the most appropriate structure of the client’s future plan. Serves as a great “bridge” between the prospect and conversion phases. | CAPConnect – workflow process | 1 week    | <a href="#">Peter Ruffel</a> – 10325<br><a href="#">Jennifer Doss</a> - 10344 |