

TEKLA RESEARCH INC 401K PLAN

Screens Summary (Data as of 09-30-2019)

Fund Removed from Approved List

Fund on Watch List

Name	Ticker	Asset Class	Trailing Performance and Risk				Management			Style		Expense				
			1 Yr	3 Yr	5 Yr	10 Yr	Pass/ Fail	Std Dev 3 Yr %	Beta 3 Yr %	Tenure	Pass/ Fail	Style Box	Pass/ Fail	Exp Ratio	Pass/ Fail	
US Stock																
Vanguard 500 Index Admiral	VFIAX	Large Blend Index	4.22	13.36	10.80	13.21		12.18	1.00	3.43				0.04		
<i>percentile rank</i>			34	19	14	9										
<i># of funds in category</i>			1,431	1,231	1,092	834										
Vanguard Growth Index Admiral	VIGAX	Large Growth	4.52	15.38	12.19	14.38		13.27	0.99	24.76				0.05		
<i>percentile rank</i>			25	41	36	23										
<i># of funds in category</i>			1,390	1,254	1,121	831										
Vanguard Value Index Adm	VVIAX	Large Value	3.54	11.45	9.33	12.08		12.24	0.99	24.76				0.05		
<i>percentile rank</i>			39	12	14	16										
<i># of funds in category</i>			1,220	1,093	947	701										
Vanguard Mid Cap Index Admiral	VIMAX	Mid-Cap Blend	3.65	10.67	9.20	13.05		13.30	0.99	21.38				0.05		
<i>percentile rank</i>			20	21	15	8										
<i># of funds in category</i>			426	368	307	227										
Vanguard Small Cap Growth Index Admiral	VSGAX	Small Growth	-2.03	12.29	9.75	—		16.07	0.91	14.76				0.07		
<i>percentile rank</i>			18	44	52	—										
<i># of funds in category</i>			664	585	521	401										
Vanguard Small Cap Value Index Admiral	VSIAX	Small Value	-5.48	7.33	7.60	—		16.12	0.90	3.43				0.07		
<i>percentile rank</i>			26	17	17	—										
<i># of funds in category</i>			420	384	341	235										
Non-US Stock																
American Funds New World R6	RNWXG	Diversified Emerging Mkts	7.87	9.57	5.49	6.40		11.47	0.78	20.30				0.62		
<i>percentile rank</i>			6	3	3	2										
<i># of funds in category</i>			838	701	569	244										
American Funds Europacific Growth R6	REGGX	Foreign Large Blend	1.14	7.38	5.02	6.07		12.26	1.05	18.34				0.49		
<i>percentile rank</i>			41	39	44	56										
<i># of funds in category</i>			467	396	340	250										
Vanguard Developed Markets Index Admiral	VTMGX	Foreign Large Blend Index	-2.08	6.28	3.62	5.07		11.44	0.99	6.61				0.07		
<i>percentile rank</i>			52	33	23	28										
<i># of funds in category</i>			727	614	492	372										
Alternative																
Vanguard Real Estate Index Admiral	VGSLX	Real Estate	19.89	7.06	9.94	12.89		12.87	0.98	23.40		—		0.11		
<i>percentile rank</i>			28	50	36	35										
<i># of funds in category</i>			262	226	201	137										
Fixed Income																
Baird Core Plus Bond Inst	BCOIX	Core Plus Bond	10.53	3.64	3.97	5.05		3.15	0.93	19.01		—	—	0.30		
<i>percentile rank</i>			13	20	10	15										
<i># of funds in category</i>			618	539	448	332										

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American Century Inflation Adjs Bond R5 <i>percentile rank</i> <i># of funds in category</i>	AIANX	Inflation-Protected Bond	6.33 43 225	1.90 52 194	2.15 31 165	3.16 42 108	✔	3.25	0.98	17.84	✔	—	—	0.27	✔
Vanguard Interm-Term Bond Index Adm <i>percentile rank</i> <i># of funds in category</i>	VBILX	Intermediate-Term Bond	12.43 1 403	3.10 19 356	3.93 1 312	4.78 5 238	✔	4.07	1.20	11.44	✔	☒	—	0.07	✔
Federated Government Ultrashrt Dur Instl <i>percentile rank</i> <i># of funds in category</i>	FGUSX	Ultrashort Bond	2.33 83 198	1.59 80 154	1.03 83 133	0.76 78 61	✖	0.28	0.02	22.24	✔	—	—	0.26	✔

Target Date															
Vanguard Target Retirement 2015 Inv <i>percentile rank</i> <i># of funds in category</i>	VTVX	Target Date	6.08 21 129	6.18 42 95	5.33 34 68	7.26 29 47	✔	4.71	0.90	6.61	✔	—	✔	0.13	✔
Vanguard Target Retirement 2020 Inv <i>percentile rank</i> <i># of funds in category</i>	VTWNX	Target Date	5.29 38 246	7.08 17 205	5.97 5 158	7.96 9 99	✔	6.10	1.04	6.61	✔	—	✔	0.13	✔
Vanguard Target Retirement 2025 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTVX	Target Date	4.89 39 232	7.77 18 191	6.39 8 147	8.48 11 81	✔	7.13	1.06	6.61	✔	—	✔	0.13	✔
Vanguard Target Retirement 2030 Inv <i>percentile rank</i> <i># of funds in category</i>	VTHRX	Target Date	4.15 44 241	8.29 31 201	6.67 21 154	8.92 16 95	✔	7.98	1.02	6.61	✔	—	✔	0.14	✔
Vanguard Target Retirement 2035 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTX	Target Date	3.37 46 229	8.78 32 188	6.92 27 144	9.35 15 78	✔	8.83	0.98	6.61	✔	—	✔	0.14	✔
Vanguard Target Retirement 2040 Inv <i>percentile rank</i> <i># of funds in category</i>	VFORX	Target Date	2.63 46 241	9.28 24 201	7.15 26 154	9.61 16 95	✔	9.71	0.98	6.61	✔	—	✔	0.14	✔
Vanguard Target Retirement 2045 Inv <i>percentile rank</i> <i># of funds in category</i>	VTIVX	Target Date	2.06 52 229	9.41 28 188	7.23 26 144	9.66 18 77	✔	10.32	1.00	6.61	✔	—	✔	0.15	✔
Vanguard Target Retirement 2050 Inv <i>percentile rank</i> <i># of funds in category</i>	VFIFX	Target Date	2.07 45 241	9.42 35 201	7.24 27 154	9.65 20 77	✔	10.34	0.99	6.61	✔	—	✔	0.15	✔
Vanguard Target Retirement 2055 Inv <i>percentile rank</i> <i># of funds in category</i>	VFFVX	Target Date	2.09 43 229	9.41 37 186	7.21 31 138	— — 13	✔	10.31	0.98	6.61	✔	—	✔	0.15	✔
Vanguard Target Retirement 2060 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTX	Target Date	2.07 44 216	9.41 48 133	7.20 60 30	— — —	✔	10.33	0.98	6.61	✔	—	✔	0.15	✔
Vanguard Target Retirement 2065 Inv <i>percentile rank</i> <i># of funds in category</i>	VLVX	Target Date	2.09 41 216	— — 133	— — 30	— — —	—	—	—	2.22	✖	—	✔	0.15	✔

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Vanguard Target Retirement Income Inv	VTINX	Target Date	6.75	5.10	4.57	5.76		3.72	0.86	6.61		—		0.12	
<i>percentile rank</i>			<i>21</i>	<i>39</i>	<i>23</i>	<i>34</i>									
<i># of funds in category</i>			<i>191</i>	<i>160</i>	<i>127</i>	<i>95</i>									
Balanced															
Vanguard LifeStrategy Cnsv Gr Inv	VSCGX	Target Risk	7.04	6.07	5.43	6.53		4.75	1.00	25.02		—		0.12	
<i>percentile rank</i>			<i>17</i>	<i>22</i>	<i>14</i>	<i>29</i>									
<i># of funds in category</i>			<i>561</i>	<i>498</i>	<i>402</i>	<i>267</i>									
Vanguard LifeStrategy Growth Inv	VASGX	Target Risk	3.10	8.75	6.93	9.05		9.17	1.01	25.02		—		0.14	
<i>percentile rank</i>			<i>24</i>	<i>24</i>	<i>22</i>	<i>26</i>									
<i># of funds in category</i>			<i>339</i>	<i>311</i>	<i>279</i>	<i>198</i>									
Vanguard LifeStrategy Income Inv	VASIX	Target Risk	8.89	4.66	4.57	5.17		3.16	0.34	25.02		—		0.11	
<i>percentile rank</i>			<i>5</i>	<i>19</i>	<i>10</i>	<i>42</i>									
<i># of funds in category</i>			<i>195</i>	<i>179</i>	<i>151</i>	<i>87</i>									
Vanguard LifeStrategy Moderate Gr Inv	VSMGX	Target Risk	5.09	7.44	6.23	7.88		6.88	1.01	25.02		—		0.13	
<i>percentile rank</i>			<i>28</i>	<i>40</i>	<i>33</i>	<i>46</i>									
<i># of funds in category</i>			<i>716</i>	<i>659</i>	<i>582</i>	<i>427</i>									