

TEKLA RESEARCH INC 401K PLAN

Screens Summary (Data as of 09-30-2020)

 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	15.11	12.24	14.11	13.71		17.74	1.00	4.43				0.04		
<i>percentile rank</i>			26	19	12	10										
<i># of funds in category</i>			1,379	1,239	1,075	828										
Vanguard Growth Index Admiral	VIGAX	Large Growth	38.24	21.02	19.24	16.73		19.17	1.00	25.77				0.05		
<i>percentile rank</i>			25	31	29	24										
<i># of funds in category</i>			1,331	1,241	1,107	821										
Vanguard Value Index Adm	VVIAX	Large Value	-3.32	4.37	9.25	10.80		17.45	0.95	25.77				0.05		
<i>percentile rank</i>			40	30	20	14										
<i># of funds in category</i>			1,209	1,133	996	718										
Vanguard Mid Cap Index Admiral	VIMAX	Mid-Cap Blend	7.08	7.98	10.33	11.97		20.37	0.98	22.38				0.05		
<i>percentile rank</i>			11	11	13	7										
<i># of funds in category</i>			403	368	295	213										
Vanguard Small Cap Growth Index Admiral	VSGAX	Small Growth	18.68	12.85	13.69	—		22.68	0.97	15.76				0.07		
<i>percentile rank</i>			46	39	42	—										
<i># of funds in category</i>			626	581	515	388										
Vanguard Small Cap Value Index Admiral	VSIAX	Small Value	-12.30	-2.67	4.80	—		23.45	0.99	4.43				0.07		
<i>percentile rank</i>			25	15	16	—										
<i># of funds in category</i>			416	387	356	254										
Non-US Stock																
American Funds New World R6	RNWXG	Diversified Emerging Mkts	14.50	7.70	11.37	6.06		17.07	0.85	21.30				0.60		
<i>percentile rank</i>			27	8	16	1										
<i># of funds in category</i>			790	695	590	265										
American Funds Europacific Growth R6	REGGX	Foreign Large Blend	14.97	5.67	9.08	6.79		17.32	1.09	19.35				0.46		
<i>percentile rank</i>			58	60	50	52										
<i># of funds in category</i>			469	420	336	246										
Vanguard Developed Markets Index Admiral	VTMGX	Foreign Large Blend Index	2.18	0.94	5.79	4.96		16.43	1.00	7.61				0.07		
<i>percentile rank</i>			44	45	35	26										
<i># of funds in category</i>			761	651	551	368										
Alternative																
Vanguard Real Estate Index Admiral	VGSLX	Real Estate	-12.19	2.37	5.22	8.50		18.00	0.94	24.40		—		0.12		
<i>percentile rank</i>			33	44	31	38										
<i># of funds in category</i>			252	224	197	141										
Fixed Income																
Baird Core Plus Bond Inst	BCOIX	Core Plus Bond	7.82	5.71	5.01	4.58		4.09	1.07	20.02		—	—	0.30		
<i>percentile rank</i>			21	14	16	16										
<i># of funds in category</i>			604	537	459	341										

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American Century Inflation Adjs Bond R5 <i>percentile rank</i> <i># of funds in category</i>	AIANX	Inflation-Protected Bond	9.09 49 210	5.09 50 200	4.29 38 172	3.17 37 116		4.10	1.05	18.85		—	—	0.27	
Vanguard Interm-Term Bond Index Adm <i>percentile rank</i> <i># of funds in category</i>	VBILX	Intermediate-Term Bond	8.90 4 418	6.25 1 381	4.86 7 336	4.41 4 256		4.01	1.16	12.44			—	0.07	
Federated Hermes Govt Ultrashort IS <i>percentile rank</i> <i># of funds in category</i>	FGUSX	Ultrashort Bond	1.77 52 209	1.88 66 168	1.33 81 133	0.83 76 64		0.46	0.06	23.24		—	—	0.26	

Target Date

Vanguard Target Retirement 2015 Inv <i>percentile rank</i> <i># of funds in category</i>	VTXVX	Target Date	7.68 62 120	6.09 35 93	7.04 51 68	7.04 32 46		6.94	0.86	7.61		—		0.13	
Vanguard Target Retirement 2020 Inv <i>percentile rank</i> <i># of funds in category</i>	VTWNX	Target Date	8.51 34 199	6.54 20 170	7.96 18 130	7.81 10 86		9.14	1.02	7.61		—		0.13	
Vanguard Target Retirement 2025 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTVX	Target Date	9.04 38 218	6.89 23 186	8.60 18 146	8.38 12 89		10.72	1.05	7.61		—		0.13	
Vanguard Target Retirement 2030 Inv <i>percentile rank</i> <i># of funds in category</i>	VTHRX	Target Date	9.38 34 228	7.04 25 194	9.07 29 153	8.84 19 91		11.99	1.02	7.61		—		0.14	
Vanguard Target Retirement 2035 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTX	Target Date	9.71 33 211	7.16 25 183	9.53 29 143	9.29 16 86		13.26	0.98	7.61		—		0.14	
Vanguard Target Retirement 2040 Inv <i>percentile rank</i> <i># of funds in category</i>	VFORX	Target Date	9.96 32 222	7.27 22 194	9.97 27 153	9.58 16 91		14.53	0.97	7.61		—		0.14	
Vanguard Target Retirement 2045 Inv <i>percentile rank</i> <i># of funds in category</i>	VTIVX	Target Date	10.27 34 211	7.32 23 183	10.13 23 143	9.66 16 85		15.64	0.98	7.61		—		0.15	
Vanguard Target Retirement 2050 Inv <i>percentile rank</i> <i># of funds in category</i>	VFIFX	Target Date	10.26 35 222	7.32 25 194	10.13 27 153	9.65 22 79		15.65	0.97	7.61		—		0.15	
Vanguard Target Retirement 2055 Inv <i>percentile rank</i> <i># of funds in category</i>	VFFVX	Target Date	10.25 36 211	7.31 27 183	10.12 32 140	9.68 26 35		15.63	0.96	7.61		—		0.15	
Vanguard Target Retirement 2060 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTX	Target Date	10.25 38 242	7.31 29 171	10.12 48 71	— — —		15.63	0.96	7.61		—		0.15	
Vanguard Target Retirement 2065 Inv <i>percentile rank</i> <i># of funds in category</i>	VLXVX	Target Date	10.11 41 242	7.25 34 171	— — 71	— — —		15.64	0.96	3.22		—		0.15	

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Vanguard Target Retirement Income Inv	VTINX	Target Date	7.35	5.79	6.03	5.60		5.73	0.86	7.61		—		0.12	
<i>percentile rank</i>			<i>28</i>	<i>17</i>	<i>29</i>	<i>17</i>									
<i># of funds in category</i>			<i>177</i>	<i>151</i>	<i>128</i>	<i>90</i>									
Balanced															
Vanguard LifeStrategy Cnsv Gr Inv	VSCGX	Target Risk	8.11	6.43	7.02	6.38		7.28	1.01	26.02		—		0.12	
<i>percentile rank</i>			<i>21</i>	<i>12</i>	<i>18</i>	<i>24</i>									
<i># of funds in category</i>			<i>547</i>	<i>517</i>	<i>451</i>	<i>285</i>									
Vanguard LifeStrategy Growth Inv	VASGX	Target Risk	9.91	7.19	9.54	8.98		13.94	1.02	26.02		—		0.14	
<i>percentile rank</i>			<i>23</i>	<i>23</i>	<i>18</i>	<i>19</i>									
<i># of funds in category</i>			<i>325</i>	<i>310</i>	<i>280</i>	<i>190</i>									
Vanguard LifeStrategy Income Inv	VASIX	Target Risk	6.82	5.84	5.62	4.95		4.42	0.97	26.02		—		0.11	
<i>percentile rank</i>			<i>12</i>	<i>4</i>	<i>15</i>	<i>32</i>									
<i># of funds in category</i>			<i>186</i>	<i>176</i>	<i>158</i>	<i>97</i>									
Vanguard LifeStrategy Moderate Gr Inv	VSMGX	Target Risk	9.07	6.85	8.32	7.76		10.56	0.99	26.02		—		0.13	
<i>percentile rank</i>			<i>35</i>	<i>36</i>	<i>35</i>	<i>45</i>									
<i># of funds in category</i>			<i>676</i>	<i>638</i>	<i>582</i>	<i>414</i>									