

TEKLA RESEARCH INC 401K PLAN

Screens Summary (Data as of 09-30-2021)

Fund Removed from Approved List Fund on Watch List

Name	Ticker	Asset Class	Trailing Performance and Risk				Management			Style		Expense		ESG Metrics				
			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	Sustain. Rating	Commit. Level	Carbon Risk	
																Updated	Updated	Updated
US Stock																		
Vanguard 500 Index Admiral	VFIAX	Large Blend Index	29.98	15.96	16.86	16.60	✓	18.82	1.00	5.43	✓	☒	✓	0.04	✓	3	1-Low	Low Risk
<i>percentile rank</i>			49	28	21	15												
<i># of funds in category</i>			1,391	1,267	1,112	819												
																08-31-2021	10-08-2021	06-30-2021
Vanguard Growth Index Admiral	VIGAX	Large Growth	28.07	22.77	22.15	19.32	✓	20.36	1.01	26.77	✓	☒	✓	0.05	✓	4	1-Low	Low Risk
<i>percentile rank</i>			36	18	31	25												
<i># of funds in category</i>			1,240	1,138	1,033	766												
																08-31-2021	10-08-2021	06-30-2021
Vanguard Value Index Adm	VVIAX	Large Value	32.50	9.87	12.14	14.06	—	19.12	—	26.77	✓	☒	✓	0.05	✓	2	1-Low	Medium Risk
<i>percentile rank</i>			60	46	31	17												
<i># of funds in category</i>			1,210	1,149	1,027	751												
																08-31-2021	10-08-2021	06-30-2021
Vanguard Mid Cap Index Admiral	VIMAX	Mid-Cap Blend	36.09	14.74	14.59	15.55	✓	21.83	0.98	23.38	✓	☒	✓	0.05	✓	4	1-Low	Low Risk
<i>percentile rank</i>			70	10	15	8												
<i># of funds in category</i>			394	361	307	206												
																08-31-2021	10-08-2021	06-30-2021
Vanguard Small Cap Growth Index Admiral	VSGAX	Small Growth	30.99	15.06	17.09	16.36	✓	24.20	0.93	16.76	✓	☒	✖	0.07	✓	4	1-Low	—
<i>percentile rank</i>			81	52	56	53												
<i># of funds in category</i>			613	577	513	390												
																08-31-2021	10-08-2021	—
Vanguard Small Cap Value Index Admiral	VSIAX	Small Value	55.74	8.89	11.05	14.21	✓	26.22	0.96	5.43	✓	☒	✓	0.07	✓	4	1-Low	—
<i>percentile rank</i>			72	34	33	16												
<i># of funds in category</i>			434	406	383	290												
																08-31-2021	10-08-2021	—
Non-US Stock																		
American Funds New World R6	RNWXG	Diversified Emerging Mkts	25.28	15.66	13.54	10.07	✓	18.29	0.88	22.30	✓	☒	✓	0.59	✓	4	1-Low	Low Risk
<i>percentile rank</i>			30	10	7	1												
<i># of funds in category</i>			786	708	598	319												
																08-31-2021	10-08-2021	06-30-2021
Vanguard Developed Markets Index Admiral	VTMGX	Foreign Large Blend Index	26.51	8.18	9.18	8.62	✓	18.64	1.04	8.61	✓	☒	✓	0.07	✓	2	1-Low	Low Risk
<i>percentile rank</i>			26	40	30	28												
<i># of funds in category</i>			769	696	596	402												
																08-31-2021	10-08-2021	06-30-2021
American Funds Europacific Growth R6	RERGX	Foreign Large Growth	24.76	13.21	12.17	10.63	✓	18.91	1.02	20.35	✓	☒	✓	0.46	✓	2	1-Low	Low Risk
<i>percentile rank</i>			21	37	40	35												
<i># of funds in category</i>			439	383	322	225												
																08-31-2021	10-08-2021	06-30-2021
Alternative																		
Vanguard Real Estate Index Admiral	VGSLX	Real Estate	33.51	12.01	7.54	11.54	✓	18.88	0.94	25.40	✓	—	✓	0.12	✓	3	1-Low	Medium Risk
<i>percentile rank</i>			47	40	46	31												
<i># of funds in category</i>			247	232	200	148												
																08-31-2021	10-08-2021	06-30-2021
Fixed Income																		
Baird Core Plus Bond Inst	BCOIX	Core Plus Bond	0.53	6.21	3.83	4.10	✓	4.24	1.07	21.02	✓	—	—	0.30	✓	—	1-Low	—
<i>percentile rank</i>			69	27	30	29												
<i># of funds in category</i>			614	571	498	357												
																—	10-08-2021	—

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			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	Sustain. Rating	Commit. Level	Carbon Risk
American Century Inflation Adjs Bond R5	AIANX	Inflation-Protected Bond	6.03	7.14	4.12	2.86	✓	4.41	1.07	19.85	✓	—	—	0.27	✓	—	—	—
<i>percentile rank</i>			15	38	43	40												
<i># of funds in category</i>			206	202	176	125												
Vanguard Interm-Term Bond Index Adm	VBILX	Intermediate-Term Bond	-1.21	6.55	3.35	3.70	✓	4.29	1.19	13.44	✓	☒	—	0.07	✓	—	1-Low	—
<i>percentile rank</i>			87	3	22	12												
<i># of funds in category</i>			411	378	333	249										10-08-2021	—	
Federated Hermes Govt Ultrashort IS	FGUSX	Ultrashort Bond	0.08	1.39	1.32	0.82	✖	0.53	0.05	24.24	✓	—	—	0.26	✓	—	—	—
<i>percentile rank</i>			78	70	74	80												
<i># of funds in category</i>			241	213	169	88												

Target Date																		
Vanguard Instl Trgt Retire 2015 Instl	VITVX	Target Date	9.65	7.82	7.21	—	✓	7.36	0.82	6.27	✓	—	✓	0.09	✓	—	1-Low	—
<i>percentile rank</i>			97	76	75	—												
<i># of funds in category</i>			117	111	77	45											10-08-2021	—
Vanguard Instl Trgt Retire 2020 Instl	VITWX	Target Date	13.43	9.05	8.64	—	✓	9.76	0.98	6.27	✓	—	✓	0.09	✓	—	1-Low	—
<i>percentile rank</i>			54	37	30	—												
<i># of funds in category</i>			175	162	123	67											10-08-2021	—
Vanguard Instl Trgt Retire 2025 Instl	VRIVX	Target Date	16.06	9.92	9.68	—	✓	11.50	1.03	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			45	31	22	—												
<i># of funds in category</i>			224	206	165	91										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2030 Instl	VITWX	Target Date	18.40	10.51	10.49	—	✓	12.89	1.00	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			51	37	33	—												
<i># of funds in category</i>			225	205	165	87										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2035 Instl	VITFX	Target Date	20.70	11.05	11.29	—	✓	14.25	0.96	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			65	41	38	—												
<i># of funds in category</i>			217	203	162	88										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2040 Instl	VIRSX	Target Date	23.12	11.59	12.08	—	✓	15.62	0.95	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			70	45	34	—												
<i># of funds in category</i>			219	205	165	87										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2045 Instl	VITLX	Target Date	25.49	12.19	12.65	—	✓	16.84	0.97	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			58	38	28	—												
<i># of funds in category</i>			217	203	162	87										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2050 Instl	VTRLX	Target Date	25.78	12.28	12.70	—	✓	16.86	0.95	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			72	38	36	—												
<i># of funds in category</i>			219	205	165	79										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2055 Instl	VIVLX	Target Date	25.78	12.31	12.72	—	✓	16.87	0.95	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			77	39	42	—												
<i># of funds in category</i>			217	203	159	66										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2060 Instl	VILVX	Target Date	25.79	12.33	12.72	—	✓	16.90	1.46	6.27	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			78	44	51	—												
<i># of funds in category</i>			211	188	125	—										08-31-2021	10-08-2021	06-30-2021
Vanguard Instl Trgt Retire 2065 Instl	VVSFX	Target Date	25.74	12.26	—	—	✓	16.92	1.46	4.22	✓	—	✓	0.09	✓	3	1-Low	Low Risk
<i>percentile rank</i>			78	32	—	—												
<i># of funds in category</i>			120	17	—	—										08-31-2021	10-08-2021	06-30-2021

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																	Updated	Updated	Updated
Vanguard Instl Trgt Retire Inc Instl	VITRX	Target Date	8.59	7.61	6.28	-	✓	6.28	0.84	6.27	✓	-	✓	0.09	✓	-	1-Low	-	
<i>percentile rank</i>			56	31	39	-													
<i># of funds in category</i>			169	152	122	79										10-08-2021	-		
Balanced																			
Vanguard LifeStrategy Cnsvr Gr Inv	VSCGX	Target Risk	10.28	8.47	7.31	7.33	✓	7.95	1.01	27.02	✓	-	✓	0.12	✓	-	1-Low	-	
<i>percentile rank</i>			83	33	36	34													
<i># of funds in category</i>			516	481	429	276										10-08-2021	-		
Vanguard LifeStrategy Growth Inv	VASGX	Target Risk	22.47	11.54	11.60	11.42	✓	15.04	1.02	27.02	✓	-	✓	0.14	✓	3	1-Low	Low Risk	
<i>percentile rank</i>			66	24	25	26										08-31-2021	10-08-2021	06-30-2021	
<i># of funds in category</i>			312	289	263	189													
Vanguard LifeStrategy Income Inv	VASIX	Target Risk	4.52	6.73	5.06	5.17	✓	4.87	0.96	27.02	✓	-	✓	0.11	✓	-	1-Low	-	
<i>percentile rank</i>			82	29	50	51													
<i># of funds in category</i>			196	180	165	108										10-08-2021	-		
Vanguard LifeStrategy Moderate Gr Inv	VSMGX	Target Risk	16.25	10.04	9.47	9.39	✓	11.44	0.99	27.02	✓	-	✓	0.13	✓	3	1-Low	Low Risk	
<i>percentile rank</i>			82	46	53	56										08-31-2021	10-08-2021	06-30-2021	
<i># of funds in category</i>			690	654	597	428													