

TEKLA RESEARCH INC 401K PLAN

Screens Summary (Data as of 03-31-2020)

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	-7.01	5.07	6.69	10.49		15.22	1.00	3.93				0.04	
<i>percentile rank</i>			26	20	12	7									
<i># of funds in category</i>			1,377	1,220	1,054	806									
Vanguard Growth Index Admiral	VIGAX	Large Growth	1.28	10.09	9.16	12.37		15.41	1.00	25.27				0.05	
<i>percentile rank</i>			16	38	34	26									
<i># of funds in category</i>			1,359	1,241	1,096	818									
Vanguard Value Index Adm	VVIAX	Large Value	-14.78	0.42	4.03	8.64		16.05	0.95	25.27				0.05	
<i>percentile rank</i>			31	21	11	13									
<i># of funds in category</i>			1,217	1,112	962	710									
Vanguard Mid Cap Index Admiral	VIMAX	Mid-Cap Blend	-16.65	-0.26	2.08	8.86		17.84	0.97	21.88				0.05	
<i>percentile rank</i>			20	13	13	8									
<i># of funds in category</i>			402	363	288	216									
Vanguard Small Cap Growth Index Admiral	VSGAX	Small Growth	-15.81	2.95	3.27	—		19.66	0.94	15.26				0.07	
<i>percentile rank</i>			36	39	44	—									
<i># of funds in category</i>			635	577	503	383									
Vanguard Small Cap Value Index Admiral	VSIAX	Small Value	-29.46	-8.37	-2.05	—		21.84	0.97	3.93				0.07	
<i>percentile rank</i>			29	16	19	—									
<i># of funds in category</i>			432	407	356	250									
Non-US Stock															
American Funds New World R6	RNWXG	Diversified Emerging Mkts	-12.42	1.81	2.23	3.77		14.98	0.82	20.80				0.61	
<i>percentile rank</i>			11	7	4	1									
<i># of funds in category</i>			825	707	580	238									
American Funds Europacific Growth R6	REGGX	Foreign Large Blend	-12.70	0.28	0.91	3.97		15.57	1.03	18.84				0.49	
<i>percentile rank</i>			85	69	57	59									
<i># of funds in category</i>			466	409	340	251									
Vanguard Developed Markets Index Admiral	VTMGX	Foreign Large Blend Index	-15.87	-2.41	-0.59	2.74		15.33	1.00	7.11				0.07	
<i>percentile rank</i>			57	52	32	25									
<i># of funds in category</i>			747	642	506	374									
Alternative															
Vanguard Real Estate Index Admiral	VGSLX	Real Estate	-16.55	-1.46	0.49	7.89		17.06	0.94	23.90		—		0.12	
<i>percentile rank</i>			40	47	45	39									
<i># of funds in category</i>			263	229	202	138									
Fixed Income															
Baird Core Plus Bond Inst	BCOIX	Core Plus Bond	6.23	4.26	3.39	4.60		3.64	1.00	19.52		—	—	0.30	
<i>percentile rank</i>			23	13	5	13									
<i># of funds in category</i>			606	530	442	331									

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American Century Inflation Adjs Bond R5 <i>percentile rank</i> <i># of funds in category</i>	AIANX	Inflation-Protected Bond	4.84 44 218	2.52 50 196	2.10 38 173	3.00 33 115	✔	3.64	1.02	18.35	✔	—	—	0.27	✔
Vanguard Interm-Term Bond Index Adm <i>percentile rank</i> <i># of funds in category</i>	VBILX	Intermediate-Term Bond	9.41 5 430	5.16 2 385	3.66 3 332	4.86 1 254	✔	3.88	1.19	11.94	✔	☐	—	0.07	✔
Federated Government Ultrashrt Dur Instl <i>percentile rank</i> <i># of funds in category</i>	FGUSX	Ultrashort Bond	1.80 21 204	1.69 28 164	1.10 65 131	0.75 75 61	✖	0.38	0.04	22.74	✔	—	—	0.26	✔
















Target Date															
Vanguard Target Retirement 2015 Inv <i>percentile rank</i> <i># of funds in category</i>	VTXVX	Target Date	-0.22 16 129	3.61 22 99	3.55 9 74	6.03 19 47	✔	6.11	0.88	7.11	✔	—	✔	0.13	✔
Vanguard Target Retirement 2020 Inv <i>percentile rank</i> <i># of funds in category</i>	VTWNX	Target Date	-2.64 41 233	3.28 22 198	3.58 11 156	6.39 9 94	✔	8.04	1.04	7.11	✔	—	✔	0.13	✔
Vanguard Target Retirement 2025 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTVX	Target Date	-4.31 43 235	3.07 24 199	3.60 13 160	6.65 12 84	✔	9.43	1.06	7.11	✔	—	✔	0.13	✔
Vanguard Target Retirement 2030 Inv <i>percentile rank</i> <i># of funds in category</i>	VTHRX	Target Date	-5.78 40 244	2.80 27 209	3.56 19 167	6.87 17 96	✔	10.56	1.02	7.11	✔	—	✔	0.14	✔
Vanguard Target Retirement 2035 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTX	Target Date	-7.25 35 232	2.53 23 196	3.51 16 157	7.07 15 81	✔	11.69	0.97	7.11	✔	—	✔	0.14	✔
Vanguard Target Retirement 2040 Inv <i>percentile rank</i> <i># of funds in category</i>	VFORX	Target Date	-8.74 34 244	2.23 24 209	3.43 17 167	7.18 15 96	✔	12.82	0.95	7.11	✔	—	✔	0.14	✔
Vanguard Target Retirement 2045 Inv <i>percentile rank</i> <i># of funds in category</i>	VTIVX	Target Date	-10.21 37 232	1.77 33 196	3.21 20 157	7.07 16 80	✔	13.75	0.96	7.11	✔	—	✔	0.15	✔
Vanguard Target Retirement 2050 Inv <i>percentile rank</i> <i># of funds in category</i>	VFIFX	Target Date	-10.17 24 244	1.79 26 209	3.23 19 167	7.07 19 78	✔	13.75	0.95	7.11	✔	—	✔	0.15	✔
Vanguard Target Retirement 2055 Inv <i>percentile rank</i> <i># of funds in category</i>	VFFVX	Target Date	-10.21 23 232	1.78 28 194	3.19 21 150	— — 31	✔	13.75	0.94	7.11	✔	—	✔	0.15	✔
Vanguard Target Retirement 2060 Inv <i>percentile rank</i> <i># of funds in category</i>	VTTX	Target Date	-10.18 21 228	1.79 32 150	3.20 36 54	— — —	✔	13.75	0.94	7.11	✔	—	✔	0.15	✔
Vanguard Target Retirement 2065 Inv <i>percentile rank</i> <i># of funds in category</i>	VLXVX	Target Date	-10.23 23 228	— — 150	— — 54	— — —	—	—	—	2.72	✖	—	✔	0.15	✔

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Vanguard Target Retirement Income Inv	VTINX	Target Date	0.91	3.38	3.17	4.92		4.94	0.86	7.11		—		0.12	
<i>percentile rank</i>			<i>29</i>	<i>13</i>	<i>10</i>	<i>17</i>									
<i># of funds in category</i>			<i>186</i>	<i>157</i>	<i>136</i>	<i>89</i>									
Balanced															
Vanguard LifeStrategy Cnsv Gr Inv	VSCGX	Target Risk	-0.30	3.59	3.49	5.39		6.32	1.00	25.52		—		0.12	
<i>percentile rank</i>			<i>15</i>	<i>7</i>	<i>7</i>	<i>17</i>									
<i># of funds in category</i>			<i>561</i>	<i>519</i>	<i>428</i>	<i>271</i>									
Vanguard LifeStrategy Growth Inv	VASGX	Target Risk	-8.22	2.17	3.33	6.78		12.24	0.99	25.52		—		0.14	
<i>percentile rank</i>			<i>23</i>	<i>23</i>	<i>18</i>	<i>20</i>									
<i># of funds in category</i>			<i>332</i>	<i>307</i>	<i>277</i>	<i>191</i>									
Vanguard LifeStrategy Income Inv	VASIX	Target Risk	3.63	4.15	3.42	4.59		3.85	0.34	25.52		—		0.11	
<i>percentile rank</i>			<i>7</i>	<i>4</i>	<i>5</i>	<i>25</i>									
<i># of funds in category</i>			<i>198</i>	<i>183</i>	<i>157</i>	<i>91</i>									
Vanguard LifeStrategy Moderate Gr Inv	VSMGX	Target Risk	-4.28	2.92	3.46	6.20		9.23	1.00	25.52		—		0.13	
<i>percentile rank</i>			<i>30</i>	<i>31</i>	<i>30</i>	<i>39</i>									
<i># of funds in category</i>			<i>689</i>	<i>641</i>	<i>562</i>	<i>413</i>									