

TASBO Transparency Questionnaire

Submitted At

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Full Name

Craig Miller

I hereby authorize myself as an individual in association with the interested party of this questionnaire



<https://s3.amazonaws.com/pf-upload-01/u-23667/0/2020-12-14/d633jul/d623j26.png>

Company Name

Franklin Templeton

Company Website

www.franklintempleton.com

Company Phone

800-527-2020

Company Email

403b@franklintempleton.com

Company Fax

n/a

Enrollment Website

<https://www.franklintempleton.com/investor/tools-and-resources/literature/info/R403B-APPNE>

What types of products does your company offer on the 403(b) platform?

Mutual Funds, Mutual Funds Platform

What are your 403(b) Assets Under Management?

\$2B-4B

What is your rating?

None

Is your organization licensed by Texas Department of Insurance (TDI)?

No

Is your organization in compliance with minimum capital and surplus requirements, including applicable risk-based capital and surplus requirements prescribed by rules adopted by TDI and supporting documentation?

No

As of 9/1/2019, do you agree to offer and sell only products that met former Teacher Retirement System of Texas (TRS) Requirements as of 9/1/2019?

Yes

Has your organization ever been petitioned into bankruptcy or insolvency in the last 10 years?

No

Has your organization or any of its officers been cited, or reprimanded by any regulatory agency within the past ten years?

No

What enrollment options does your company offer?

Mail, Online, Faxed. For Online - must be via e-mail

How are clients able to make changes to their accounts?

Online, Mail, Phone, Fax

Do you offer specific investment advice to individual 403(b) account holders?

No

Does your organization have experience in providing 403(b) qualified investment products and have a specialized department dedicated to the service of 403(b) qualified investment products?

Yes

Does your organization require that each of its representatives are properly licensed and qualified, by training and continuing education, to sell and service the company's eligible qualified investments?

Yes

Does your sales force consist of captive agents or brokers?

Captive Agents

If your organization uses commissioned sales representatives, will you commit to limit the number of representatives working with a particular school district? If so what will this limitation be (e.g., no more than X, X number of representatives per Y number of employees, etc.)?

N/A

What products do you currently actively offer?

Mutual Funds- Direct Access

If you have a large number of products in one category, as with a mutual fund family, your company can create a chart showing the applicable items (similar to the one that TRS previously maintained) and submit this.

[FT Funds_TASBO.xlsx \(https://s3.amazonaws.com/pf-upload-01/u-23667/0/2020-12-17/r643jpr/FT%20Funds_TASBO.xlsx\)](https://s3.amazonaws.com/pf-upload-01/u-23667/0/2020-12-17/r643jpr/FT%20Funds_TASBO.xlsx)

Share Class

A, C

What is your management fee?

Varies per fund, see mutual fund grid

What are your Distribution and/or service 12b-1 Expenses?

Varies per share class/fund, see mutual fund grid

What are your Other Fees & Expenses?

Varies per share class/fund, see mutual fund grid

What are your Acquired Fund Fees & Expenses?

Varies per share class/fund, see mutual fund grid

Do you allow loans?

No

If yes, what is your Loan Fixed Dollar Fee?

N/A

If yes, what is your Loan Interest Rate?

N/A

If yes, who keeps the interest?

N/A

Do you allow loans?

No

Submission ID

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