

TASBO Transparency Questionnaire

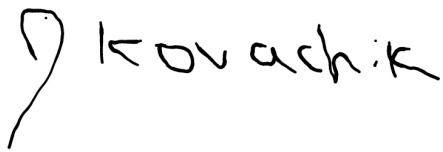
Submitted At

11-20-2020 16:09:47

Full Name

Jessica Kovachik

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



<https://s3.amazonaws.com/pf-upload-01/u-23667/0/2020-11-19/jq13q9n/jo03qkm.png>

Company Name

Lincoln Investment

Company Website

www.lincolninvestment.com

Company Phone

800-242-1421

Company Email

Retirementplans@lincolninvestment.com

Company Fax

215-881-4697

Enrollment Website

https://investor.app.lincolninvestment.com/Authentication/Login

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?

\$8B-10B

What is your rating?

None

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

Yes

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?

Yes

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?

Yes

What enrollment options does your company offer?

Representative Only, Phone, Mail

How are clients able to make changes to their accounts?

Mail, Phone, Representative Only

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

Yes

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?

Brokers

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.)?

The number of financial professionals can be determined by each school district and the Lincoln relationship manager.

What products do you currently actively offer?

Mutual Funds- Platform Access

Share Class

A, B, C

What is your management fee?

Program fee of 1.33%, and an optional asset management fee of 0.30%.

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

\$0 (they are returned to the participant)

What are your Other Fees & Expenses?

QDRO Processing Fee \$100, Quarterly Custodial Fee \$16.25 and Termination Fee \$60.

What are your Acquired Fund Fees & Expenses?

The mutual funds prospectus net expenses ratio averages from 0.03 to 2.01 percent.

Do you allow loans?

Yes

If yes, what is your Loan Fixed Dollar Fee?

\$60.00

If yes, what is your Loan Interest Rate?

The Prime Rate plus 2%

If yes, who keeps the interest?

Client

Do you have any other transaction fees?

Wire Fees, Mailing Fees

Submission ID

5fb83eabd154bc09ae75930f