

TASBO Transparency Questionnaire

Submitted At

12-18-2020 11:20:27

Full Name

Maegen Chaudry

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



<https://s3.amazonaws.com/pf-upload-01/u-23667/0/2020-12-18/k553jfj/k543jvg.png>

Company Name

Pentegra Trust Company

Company Website

<https://www.pentegra.com>

Company Phone

914-821-9580

Company Email

403b-Ops@pentegra.com

Company Fax

(914) 821-9582

Enrollment Website

<https://www.pentegra.com>

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

Mutual Funds

What are your 403(b) Assets Under Management?

<\$2B

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?

No

What enrollment options does your company offer?

Mail, email and fax

How are clients able to make changes to their accounts?

Online, Mail, Phone, representative

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.)?

We use fee based advisors and the ability to be self directed.

What products do you currently actively offer?

Mutual Funds- Platform Access

Share Class

Institutional

What is your management fee?

30 bps (.30%)

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

\$20 per distribution made via check or mail

What are your Other Fees & Expenses?

Optional Advisor Fee

What are your Acquired Fund Fees & Expenses?

N/A

Do you allow loans?

Yes

If yes, what is your Loan Fixed Dollar Fee?

\$50

If yes, what is your Loan Interest Rate?

The fixed rate of interest for each loan will be equivalent to the federal prime interest rate minus 1% on the day prior to the loan's approval.

If yes, who keeps the interest?

Client

Do you have any other transaction fees?

Wire Fees, Mailing Fees, \$50/fund in kind transfer fee

Submission ID

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