

# TASBO Transparency Questionnaire

**Submitted At**

01-13-2021 15:12:58

**Full Name**

Julia Albing

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



<https://s3.amazonaws.com/pf-upload-01/u-23667/0/2021-01-13/7i13zgx/7g03zep.png>

**Company Name**

TCG Administrators

**Company Website**

<https://financialpathway403b.com/>

**Company Phone**

800-943-9179

**Company Email**

[finpath403b@tcgservices.com](mailto:finpath403b@tcgservices.com)

**Company Fax**

888-989-9247

**Enrollment Website**

<https://financialpathway403b.com/>

**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

**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?**

Online, Phone, Representative Only

**How are clients able to make changes to their accounts?**

Online, 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?**

Captive Agents

**What products do you currently actively offer?**

Mutual Funds- Direct Access, Mutual Funds- Platform Access

**What is your management fee?**

\$45 and 30 bp annually

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

\$25 fixed fee

**What are your Other Fees & Expenses?**

Custodial Fee: 10 bp annually

**Do you allow loans?**

Yes

**If yes, what is your Loan Fixed Dollar Fee?**

\$25

**If yes, who keeps the interest?**

Client

**Do you have any other transaction fees?**

Wire Fees

**What is your management fee?**

\$45 and 30 bp annually

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

\$25 fixed fee

**What are your Other Fees & Expenses?**

Custodial Fee: 10 bp annually

**Do you allow loans?**

Yes

**If yes, what is your Loan Fixed Dollar Fee?**

\$25

**If yes, who keeps the interest?**

Client

**Do you have any other transaction fees?**

Wire Fees

**Submission ID**

5fff625a285f962a0448ca38