





## OUTSOURCE YOUR FIDUCIARY INVESTMENT LIABILITY

**38) Investment Fiduciaries** is a solution for plan sponsors who want to **minimize** their retirement plan fiduciary **investm**  
financial advisors and plan consultants to build the investment offering available to their plan sponsor clients. Our firm will  
**fiduciary** to monitor, document, and execute fund changes. **We will provide** ongoing reporting on whether the funds a  
moved that's available in your online password protected plan portal.

# 3(38) INVESTMENT FIDUCIARIES IS YOUR 401K BACK OFFICE

## 3(38) INVESTMENT FIDUCIARY

Our firm will become the 3(38) investment fiduciary for your client's retirement plan.

## CUSTOMIZABLE INVESTMENT LINEUPS

We can provide standard lineups or can customize the investment lineup to your client and firm needs.

## UPDATED INVESTMENT REPORTING

Our firm will provide quarterly investment monitoring with commentary on funds placed on watchlist.

## ONLINE PLAN PORTAL FOR PLAN SPONSOR CLIENTS

You will be provided an online plan portal for each of your plan sponsor clients to organize their fiduciary files. Be sign on to manage all of their clients.

## RFP TOOL

Save time, become more efficient, and improve client outcomes with our intuitive recordkeeper fee benchmarking



## DALBAR CERTIFICATION

**38) Investment Fiduciaries** is excited to announce that we recently earned the **2018 DALBAR CERTIFICATION ADVISOR**. In order to earn this certification, we underwent an in-depth evaluation and an assessment of the alignment of our contract and services with the fiduciary standard. The due diligence is consistent with the guidelines provided by the United States Department of Labor for Advisers to Employee Retirement Income Security Act of 1974, as amended (ERISA) Section 3(38) and associated regulations.

**Retirement Plan Adviser that has earned the DALBAR Certification provides Individuals, Trustees and Fiduciaries**

Independently affirms that our investment process follows a prudent process using generally accepted investment theories and practices.

Gives comfort that the Adviser has been independently examined, deemed/found to be qualified, and has the written assurance that the Adviser is acting in the employee's best interest in a fiduciary capacity.

Allows Trustees and Fiduciaries of a Retirement Plan to use the Dalbar credentials to better comply with the regulatory requirements to select and monitor all investments used.

Confirms that our firm will explicitly state in writing that we are serving as the investment fiduciary.

Independently affirms that we have been highly effective in delivering the most important measures of an investment  
Performance, Advice and Service.

If you would like us to perform a fiduciary review of your Plan and or would like a full copy of the DALBAR report, feel  
info@338if.com

## INVESTMENT PROCESS METHODOLOGY – OVERVIEW

QUANTITATIVE

QUALITATIVE

38) Investment Fiduciaries follows a pass/fail criteria, on a scale of 0 to 100 (with 100 being the best) for active managers.  
Methodology incorporates both quantitative and qualitative factors in evaluating fund managers and their investment strategies.

Eighty percent of the fund's score is quantitative which incorporates such factors as style, risk/return, and peer group ranking.  
Qualitative, taking into account things such as manager tenure and the fund's expense ratio relative to the average fund in the category.