

Self-Directed Brokerage

Account Management

THE PACIFIC FINANCIAL GROUP

Financial advisors are using brokerage windows, SDBA, and in-plan advice to deliver choice and professional advice that plan participants need and want.

The Numbers Tell the Story:

100,000

Brokerage windows in over 100,000 plans nationwide.

60 Million

Millions of plan participants seeking financial advice.*

*Sources: Investment Company Institute (ICI), PlanSponsor.com, National Association of Plan Sponsors (NAPA)

For many years, the investment options offered in company-sponsored retirement plans were limited to a pre-selected list of mutual funds and annuity contracts. However, thousands of employers have enhanced their retirement plans to include a brokerage window opportunity so that plan participants have more choices and greater flexibility with their retirement investments. This option, known as the Self-Directed Brokerage Account (SDBA), exists in 401(k), 403(b), or 457 plans where participants have access to stocks, bonds, mutual funds and ETFs.

Our retirement account management is ideal for a wide range of clients. Designed for both a participant who is just beginning to save for retirement as well as a participant with an established account who is preparing to retire.

We offer a combination of unique investment management strategies for any risk tolerance level. A financial professional, determines which of the various options should be offered based on the goals, objectives, risk tolerance, and time horizon of the plan participant.

The relationships listed below give advisors access to nearly every retirement platform in the country.

ACCESS POINTS:

- **Aspire** – Managed Account
- **BOK Financial** – Self-Directed Brokerage Account
- **Empower** – Empower Brokerage Services
- **Fidelity** – BrokerageLink®
- **Prudential Brokerage** – Self-Directed Brokerage Account
- **Schwab** – Personal Choice Retirement Account (PCRA)
- **TD Ameritrade** – Self-Directed Brokerage Account
- **TIAA** – Brokerage Services

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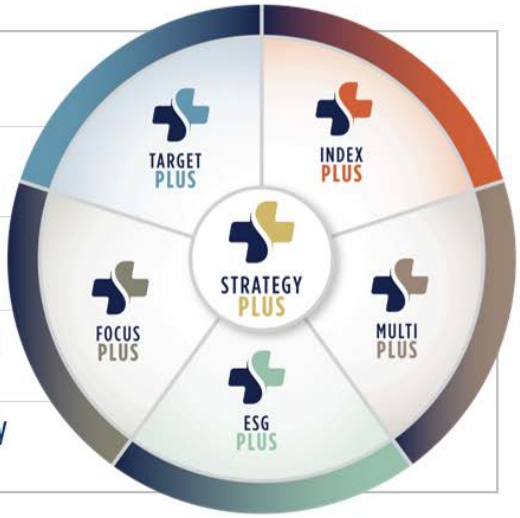
36 Models.
11 Elite Strategists.
1 Platform.

STRATEGY PLUS

Multi-manager, multi-style investment options for every risk tolerance level within a retirement plan self-directed brokerage account.

TARGET PLUS	Elevates traditional target date investing beyond estimated retirement year using active management strategies.
INDEX PLUS	Ideal for low-cost investing with broad market exposure using passive holdings complimented with tactical strategies.
FOCUS PLUS	Focus PLUS is designed for investors who seek concentrated exposure to actively managed strategies.
ESG PLUS	ESG PLUS allows investors to choose among a variety of holdings that use environment, social or governance screens.
MULTI PLUS	The most diversified set within the Strategy PLUS lineup, uniquely constructed for the most comprehensive market exposure.



Model portfolios that include some of the largest and most respected investment managers:

CAPITAL GROUP® | AMERICAN FUNDS®
BlackRock.
J.P.Morgan Asset Management
MFS® Investment Management
Fidelity INVESTMENTS
PIMCO
MEEDER
BNY MELLON
Invesco
Janus Henderson INVESTORS
COUNTERPOINT ASSET MANAGEMENT

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