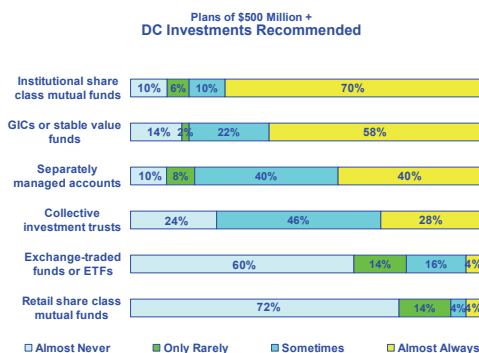


What do consultants, RIAs and other fee-based advisors look for in recommending an investment platform provider to their defined contribution plan sponsor clients? What do they expect in an investment manager? On what basis do they recommend specific funds?

Designed both for platform providers and asset managers selling on an investment-only basis and trended to a similar study in 2008, *DCI 2* offers a comprehensive view of the needs, expectations and experiences of these crucial intermediaries in the DC investments space.

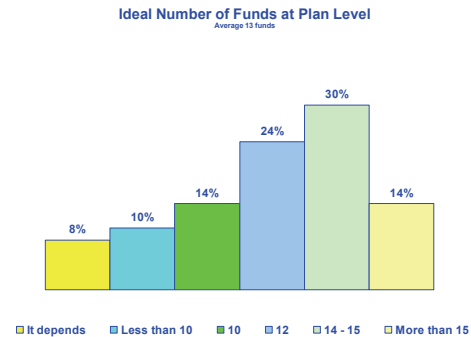
### Preferences and Characteristics

Which investment vehicles do fee-based intermediaries recommend for plans of various sizes? What do they recommend as QDIAs? What tools do they use or would they welcome to help them evaluate investment choices for their clients? How interested are they in a guaranteed income feature within a DC plan?



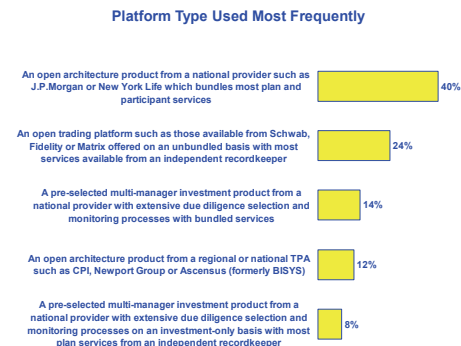
The research also characterizes these intermediaries in terms of their fiduciary role, the depth of their DC practice including the number of plans and aggregate assets they advise and how they describe themselves (advisors, fee-

based investment selection consultants, RIAs).



### Investment Platforms

What types of investment platforms do they use? Which do they rely on most? Which platform providers do they use? Which providers get most of their business? How satisfied are they with these providers (by name)?



What drives a platform provider selection decision to begin with? The availability of various investment vehicles? The absence of proprietary funds? Fee transparency? The research evaluates 15 factors.

### Investment Managers

Do fee-based intermediaries recommend investment managers for different reasons than they recommend platform providers?

Is it all about performance? Or do support, vehicles offered and brand matter too?

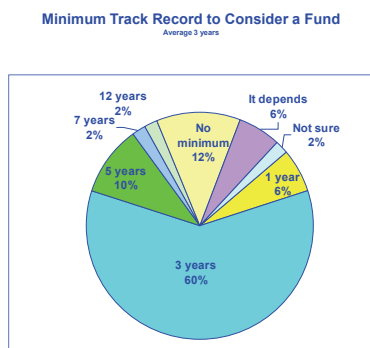


Which investment managers do they use? How satisfied are they? Do they tend to use certain investment managers for core funds, specialty funds, or both?

### Specific Funds

Finally, how many funds do these intermediaries recommend their clients offer to participants? What kind of track record does a fund need to be considered?

And what are the factors that commend one fund over another—the availability of multiple share classes, a low total expense ratio, a competitive level of recordkeeper offset or other factors (11 items evaluated)?



### What You Can Learn

Subscribers are able to:

- Understand the needs, practices preferences and decisionmaking of fee-based DC intermediaries
- Evaluate the factors that could make them attractive to these advisors as platform providers
- Evaluate the factors that could make them attractive to these advisors as investment managers

### Research Design

This research will be based on executive telephone interviews with a representative national sample of approximately 100 consultants, RIAs and other fee-based advisors who have evaluated a platform, investment manager or investment vehicles for a DC plan sponsor in the past year.

### Subscription Details

Available: QIII

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