



ERISA Guide to Services and Compensation

In accordance with Rule 408(b)-2 of the Employee Retirement Income Security Act of 1974, the following is a guide to important information that ERISA Plans should consider in connection with the services provided by Roosevelt Investments. Should you have any questions concerning this guide or the information provided to you concerning our services or compensation, please do not hesitate to contact Roosevelt Investments' compliance department at 646-452-6712.

| Required Information | Location |
|---|--|
| Description of the services that Roosevelt Investments will provide your Plan. | Roosevelt Investment Advisory Group Agreement; "Investment Discretion and Limitations", page 1/ Form ADV Part 2A; Item 4 "Advisory Business" |
| A statement concerning the services that Roosevelt Investments will provide as a Registered Investment Adviser and ERISA Fiduciary. | Roosevelt Investment Advisory Group Agreement; "ERISA Accounts", page 2 |
| Compensation Roosevelt Investments will receive from your Plan ("direct compensation"). | Schedule A – Fee Schedule |
| Compensation Roosevelt Investments will receive from other parties that are not related to Roosevelt Investments ("indirect compensation"). | Form ADV Part 2A; Item 12 "Brokerage Practices", subsection "Research and Other Soft Dollar Benefits" |
| Compensation that will be paid among Roosevelt Investments and related parties. | Not applicable. |
| Compensation Roosevelt Investments will receive if you terminate this service agreement. | Not applicable. |
| The cost to your Plan of recordkeeping services. | Not applicable. |
| Fees and Expenses relating to your Plan's investment options. | Not applicable. |