

401(k) Consolidation Report - © 2020 TRAU

Provider	Action	Type	Successor	Date
Personal Capital	Sold	Advisory	Empower	2020
OneDigital	Investment	Advisory	Onex	2020
Captrust	Investment	Advisory	GTCR	2020
Advisor Group	Sold	Broker dealer	Ladenburg	2020
Legg Mason	Sold	DCIO	Franklin Templeton	2020
Unified Trust	Sold	Record keeper	American Trust	2020
MassMutual	Pending	Record keeper	Empower	2020
Fifth Third Bank	Pending	Record keeper	Empower	2020
American Trust	Sold	Record keeper	EdgeCo (American Trust)	2020
Pai	Sold	Record keeper	Newport Group	2020
Resources Investment Advisers	Sold	Advisory	OneDigital	2019
Centurion	Sold	Advisory	MarshMac	2019
Aspire	Sold	Record keeper	PCS	2019
Wells Fargo	Sold	Record keeper	Principal	2019
TPAs (34)	Sold	Record keeper	Ascensus	2019
PNC Bank	Sold	Record keeper	Newport Group	2019
Ascensus	Investment	Record keeper	Atlas Merchant Capital	2019
First Mercantile	Sold	Record keeper	American Trust	2019
GRP Financial	Sold	Advisory	Hub	2018
Sheridan Road	Sold	Advisory	Hub	2018
Financial Engines	Sold	Advisory	Edelman	2018
Oppenheimer	Sold	DCIO	Invesco	2018
DST	Sold	Technology	SS&C	2018
Xerox	Spun off	Record keeper	Alight	2017
Aon Hewitt	Sold	Record keeper	BlackStone	2017
NFP Securities	Sold	Broker dealer	Kestra	2016
MetLife Securities	Sold	Broker dealer	MassMutual	2016
RS Investments	Bought	DCIO	Victory Private Equity	2016
Trautman	Sold	Record keeper	Northwest Plan Services	2016
Verisight	Rebranded	Record keeper	Newport Group	2016

Ameritas	Bought	Record keeper	Guardian	2016
Alerus	Bought	Record keeper	ABG MN	2016
Pioneer	Merger	DCIO	Santander/Warburg/Gen Atl	2015
NYLife RPS	Sold	Record keeper	John Hancock	2015
CDM	Sold	Record keeper	NW Plan Services	2015
NADART	Sold	Record keeper	Empower Retirement	2015
Mercer Record keeper	Sold	Record keeper	Transamerica	2015
BMO	Sold	Record keeper	OneAmerica	2015
Ascensus	Sold	Record keeper	Genstar/Aquiline	2015
Financial Telesis	Sold	Broker dealer	LPL	2014
Cetera	Sold	Broker dealer	RCAP	2014
Nuveen	Sold	Investment only	TIAA-Cref	2014
Frank Russell	Sold	Investment only	LSE	2014
Putnam record keeper	Merged	Record keeper	Great-West	2014
Newport Group	Sold	Record keeper	Verisight and Stone Point	2014
Munder	Sold	Record keeper	Victory	2014
J.P. Morgan Large Mkt Record keeper	Sold	Record keeper	Great-West	2014
Great-West/Putnam/J.P. Morgan	Rebranded	Record keeper	Empower Retirement	2014
Daily Access	Sold	Record keeper	Verisight and Stone Point	2014
CPI	Rebranded	Record keeper	CUNA Mutual	2014
City National	Sold	Record keeper	OneAmerica	2014
Alerus	Bought	Record keeper	Retirement Alliance	2014
Walnut Street Securities	Sold	Broker dealer	Cetera	2013
Tower Square	Sold	Broker dealer	Cetera	2013
NFP	Taken Private	Broker dealer	Madison Dearborn	2013
Ridgeworth	Sold	Investment only	Lightyear & Management	2013
Verisight	Sold	Record keeper	Stone Point	2013
ING	IPO	Record keeper	Public	2013
Morgan Keegan	Sold	Broker dealer	Raymond James	2012
Dwight Asset Management	Sold	Investment only	Goldman Sachs	2012
Vanguard	Outsourced	Record keeper	Ascensus	2012

Hartford	Sold	Record keeper	MassMutual	2012
ExpertPlan	Sold	Record keeper	Ascensus	2012
ASpire	Raise capital	Record keeper	Financial Technology Ventures	2012
Columbia Investments	Sold	Investment only	Ameriprise	2011
Oppenheimer	Exited record keeper	Record keeper	Ascensus	2011
McGladrey	Sold	Record keeper	Verisight	2011
M&I	Sold	Record keeper	BMO	2011
E Plan	Sold	Record keeper	Paychex	2011
NRP	Sold	Broker dealer	LPL	2010
First American Funds	Sold	Investment only	Nuveen	2010
Matrix	Sold	Other	Broadridge	2010
NextStep/BenefitStreet	Sold	Record keeper	Verisight	2010
McCready & Keene	Sold	Record keeper	OneAmerica	2010
Merrill Lynch	Sold	Broker dealer	Bank of America	2009
Hand Benefits	Sold	Other	BPA	2009
Wachovia	Sold	Record keeper	Wells Fargo	2009
Symetra (Mutual Fund Product)	Sold	Record keeper	Ascensus	2009
Schloss & Co.	Sold	Record keeper	Sentinal (Focus Finncial)	2009
Putnam	Sold	Record keeper	Power Financial (Great-West)	2009
CPI	Sold	Record keeper	CUNA Mutual	2009
Baden (ClaRecord keeper)	Sold	Record keeper	Ascensus	2009
ABG MidAtlantic	Sold	Record keeper	BPA	2009
401(k)Advisors & RPAG	Sold	Advisory	NFP	2008
First Mercantile	Sold	Record keeper	MassMutual	2008
CitiStreet	Sold	Record keeper	ING	2008
UBOC	Sold	Record keeper	Prudential	2007
SunLife (MFS)	Sold	Record keeper	Hartford	2007
Princeton Retirement Group	Sold	Record keeper	Hartford	2007
Franklin Templeton	Sold	Record keeper	Great West	2007
Bisys	Sold	Record keeper	JC Flowers/Crump	2007
Sentinel Benefits	Sold	TPA	Focus Financial	2007

SunGuard (STN)	Partnered	Other	Fidelity (IWS)	2006
Cynergy	Sold	Other	J.P. Morgan	2006
CCA	Sold	Other	J.P. Morgan	2006
US Bank	Sold	Record keeper	Great West	2006
The 401kCompany	Sold	Record keeper	Schwab	2006
MetLife	Sold	Record keeper	Great-West	2006
Invesmart	Sold	Record keeper	Standard	2006
Ceridian	Sold	Record keeper	Newport Group	2006
Ameriprise	Sold	Record keeper	Wachovia	2006
MFS	Sold	Record keeper/DCIO	SunLife	2006
Southeastern Employee Benefits	Sold	TPA	Paychex	2006
Geller & Wind	Sold	TPA	Focus Financial	2006
Baden	Sold	TPA	ClaRecord keeper Consulting	2006
Travelers	Sold	Other	Met Life	2005
Sunguard	Sold	Other	Private Equity Group	2005
Amvescap	Sold	Other	Merrill Lynch	2005
Union Central	Merged	Record keeper	Ameritas/Unifi	2005
MetLife	Outsourced 403(b)	Record keeper	CitiStreet	2005
Metavante (M&I)	Sold	Record keeper	Great West	2005
Mellon	Sold	Record keeper	ACS	2005
J.P. Morgan	Outsourced	Record keeper	Fascore	2005
Fifth Third Bank	Outsourced	Record keeper	Fascore	2005
Federated Investors	Outsourced	Record keeper	Fascore	2005
CitiStreet	Sold (403(b) business)	Record keeper	MetLife	2005
AXA Advisors	Outsourced	Record keeper	BFDS/DST	2005
American Express	Sold/renamed	Record keeper	IPO/Ameriprise	2005
ABN AMRO	Sold	Record keeper	Principal	2005
Strong	Sold	Record keeper	Wells Fargo	2004
Southtrust	Sold	Record keeper	Wachovia	2004
Putnam	Carve out	Record keeper	Mercer HR	2004

Harris Bank	Sold	Record keeper	Wells Fargo	2004
GoldK	Sold	Record keeper	LBMC	2004
Comerica	Outsourced	Record keeper	Wachovia	2004
CNA Trust	Sold	Record keeper	Union Bank of California	2004
Bank of NY	Sold	Record keeper	Wachovia	2004
BancOne	Sold	Record keeper	J.P. Morgan	2004
American Express	Outsourced	Record keeper	Great West	2004
AG Edwards	Sold	Record keeper	CPI	2004
mPower	Sold	Advisory	Morningstar	2003
PFPC	Sold	Other	Wachovia	2003
Enterprise/MONY	Sold	Other	AXA	2003
US Bank	Outsourced	Record keeper	Bisys	2003
UMB	Sold	Record keeper	M&I	2003
Scudder	Sold	Record keeper	ADP	2003
Safeco	Sold	Record keeper	Symetra	2003
Putnam	Outsourced	Record keeper	Expert Plan	2003
Pioneer	Exited	Record keeper		2003
Pan American	Sold	Record keeper	Securian	2003
Northern Trust	Sold	Record keeper	Hewitt	2003
GE	Outsourced	Record keeper	Bisys	2003
Fleet	Sold	Record keeper	Bank of America	2003
Federated Insurance	Sold	Record keeper	Great West	2003
Emjay/Wells Fargo	Sold	Record keeper	Great West	2003
Delaware	Outsourced	Record keeper	Bisys	2003
Cigna	Sold	Record keeper	Prudential	2003
American Century	Sold	Record keeper	J.P. Morgan	2003
401k Company	Exited small maRecord keeperet	Record keeper		2003
Trustar	Exited	Record keeper		2002
SunTrust	Outsourced	Record keeper	Nationwide	2002
Provident Mutual	Sold	Record keeper	Nationwide	2002
Persumma	Merged	Record keeper	MassMutual	2002

Nippon Life	Exited	Record keeper		2002
National City Bank	Outsourced	Record keeper	Hewitt	2002
MetLife	Merged	Record keeper	Gen Am & New England	2002
Merchantile Bank	Outsourced	Record keeper	Bisys	2002
Key Bank	Sold	Record keeper	Principal	2002
Emplanet	Exited	Record keeper		2002
CBIZ	Outsourced	Record keeper	Bisys	2002
Bank of NY	Outsourced	Record keeper	PFPC	2002
American Skandia	Exited	Record keeper		2002
Administrative Management Group	Sold	Record keeper	Lincoln Financial	2002
UPI	Sold	Other	Bisys	2001
Wachovia	Outsourced large plans	Record keeper	Invesco	2001
Wachovia	Sold	Record keeper	First Union	2001
Unifi (PWC)	Sold	Record keeper	Mellon HR	2001
Teamvest	Sold	Record keeper	Newport Group	2001
Reliastar	Sold	Record keeper	Aetna	2001
PaineWebber	Outsourced	Record keeper	MFS	2001
Morgan Stanley	Outsourced	Record keeper	ADP/Fidelity	2001
MetLife	Sold large plans	Record keeper	Hewitt	2001
LaSalle Bank	Outsourced	Record keeper	Chicago Title & Trust	2001
John Hancock	Sold retirement business	Record keeper	UPI	2001
Fleet	Outsourced	Record keeper	Invesco	2001
Emjay	Sold	Record keeper	Wells Fargo	2001
Allmerica	Sold	Record keeper	Securian	2001
T. Rowe Price	Outsourced small plans	Record keeper	Trustar	2000
Prudential	Outsourced <\$3mm	Record keeper	Bisys	2000
Merrill Lynch	Sold <\$3mm	Record keeper	Bisys	2000
Huntington Bank	Exited	Record keeper		2000
Bank of America	Outsourced	Record keeper	ADP/Aegon	2000

American Century	Outsourced / exited small market record keeper	Record keeper	ADP	2000
State Street	Merged	Record keeper	CitiStreet	1999
CitiBank (Copeland/Smith Barney)	Merged	Record keeper	CitiStreet	1999
Chase Manhattan Bank	Outsourced	Record keeper	Fidelity	1999
PFPC	Sold	Other	PNC Bank	
Transamerica	Sold	Record keeper	Aegon	
Aetna	Sold	Record keeper	ING	
Diversified	Sold	Record keeper	Aegon	