

DALBAR's Trends & Best Practices in Investor Statements

What Is Trends & Best Practices in Investor Statements?

DALBAR's Trends and Best Practices in Investor Statements is an annual evaluation and ranking of statements in the following distribution channels:

- Brokerage
- Mutual funds
- Variable annuities
- Retirement plan [including defined contribution (DC), defined benefit (DB) and “total retirement,” which is both DC and DB]

Results offer a series of channel-specific reports that identify and rank top-performing statements, summarize current best practices in statement content and design and reveal emerging industry trends.

What Are the Benefits of Participation?

- ✓ Public recognition of industry-leading statements, when applicable
- ✓ Insights into practices that:
 - promote positive investor behavior
 - reduce costs associated with production, fulfillment and call center inquiries
 - support the role of the financial professional
- ✓ Identification and quantification of competitive standing
- ✓ Access to examples of best-in-class statements

What Does Participation Provide?

A comprehensive, channel-specific report that includes:

- ✓ Overview of the overall landscape in statement design and content
- ✓ Best practices and emerging trends
- ✓ Statement ranking and benchmarking
- ✓ A full description and breakdown of the criteria used to evaluate statements
- ✓ Access to images of each channel's top statements

A summary of an individual statement's evaluation results:

- ✓ Scores earned by a firm's statement for all evaluation criteria
- ✓ Industry benchmarks to provide context for a firm's score and rank

An optional Gap Analysis of an individual statement's score:

- ✓ Detailed assessment of a firm's statement, identifying specific areas for improvement and providing examples of best practices for those areas
- ✓ A half-hour consultation with DALBAR Communication Analysts

What Is the Cost of Participation?

Any firm can submit an investor statement for review in one of the channels. The pricing structure for the analysis reports is as follows:

Trends & Best Practices in Investor Statements -Industry Report	<ul style="list-style-type: none"> ▪ \$3,500 per channel
Members of DALBAR'S Advisory Board for Communications purchase for:	<ul style="list-style-type: none"> ▪ \$2,000 per channel
Gap Analysis of your firm's statement:	<ul style="list-style-type: none"> ▪ \$3,500, includes up to a half hour of additional consultation with DALBAR'S Communications Analysts

Timeline and Next Steps

Statements need to be submitted by August 31, 2010, for inclusion in this year's analysis and ranking. Final reports will be released by December 31, 2010.

For more information, including a list of submission tips and a copy of the DALBAR's proprietary Statement Evaluation Criteria Guidebook, visit research.dalbar.com and request access to the password-protected area of the site.