Seligman Growth 401(k)

PROPOSAL REQUEST FORM

Fax to Seligman at **212-922-5740** • For assistance, call **888-597-1553**

Financial Advisors may visit www.seligmanretirement.com *to use our Proposal Generator*

CHOOSE PROGRAM: ☐ Growth 401(k) *OR* ☐ Open Architecture (Plans with at least $1 million in assets*)

I. FINANCIAL ADVISOR INFORMATION (REQUIRED)

Name ______________________ Title ______________________

Firm ______________________

E-mail ______________________ Telephone ______________________

Address ______________________

City ______________________ State __________ Zip __________

2nd Financial Advisor (if any) ______________________

2. PROPOSAL MAILING INSTRUCTIONS (REQUIRED)

Please allow 48-hour turnaround; all proposals are mailed to the Financial Advisor.

Date Needed By __________ Presentation Date __________ # of Proposals Required (Standard is 2) __________

3. PLAN SPONSOR INFORMATION (REQUIRED)

Company Name ______________________

Industry ______________________

4. PLAN INFORMATION (REQUIRED)

Plan Status ☐ New ☐ Existing

Plan Type ☐ 401(k) ☐ Profit Sharing ☐ Money Purchase ☐ New Comparability

☐ Age-Weighted ☐ Other ______________________

Total # of Employees __________ Eligible Employees __________ Active Participants *(existing plan)* __________

5. EXISTING PLAN INFORMATION

Existing plans that require custom documents and features may be subject to additional fees.

Estimated Plan Assets $__________

Document Type ☐ Standard Prototype ☐ Non-Standard Prototype ☐ Custom

Investment Provider/Trustee ______________________

Current Recordkeeper ______________________

Will all assets be liquidated? ☐ Yes ☐ No

Are there any frozen assets? ☐ Yes ☐ No

** New plans with at least 100 eligible employees may also qualify; contact Seligman Advisors, Inc. for details.*

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Open Architecture

TIME HORIZON MATRIX
ASSET ALLOCATION

ROBUST INVESTMENT LINEUP AND STRATEGIES

- **Participants can choose Seligman Time Horizon Matrix® or create their own mix of investments**
- **Seligman Time Horizon Matrix:** multi-manager target date retirement solution with powerful long-term results

Simple

- Participants enroll in one of the 31 target-date retirement portfolios
- Each year, participants migrate from one portfolio to the next as they get closer to their goal
- Harvester Portfolio is designed for participants in retirement seeking income as well as growth and preservation of capital

Customized

- Underlying investments are actively managed mutual funds
- Plans with at least $1 million in assets can customize the funds that make up their Matrix by choosing from a universe of over 1,000 funds*

Results

- 10-year track record of driving participation and delivering results through up and down markets

- Choose funds in addition to those in the Matrix, for a full investment lineup of **up to 21 funds**
- **Sophisticated QDIAs:** single- and multi-age appropriate default fund options available

FULL-SERVICE RECORDKEEPING AND ADMINISTRATION FLEXIBILITY

- Service guarantees for key administrative functions
- Dedicated plan installation team
- Personalized enrollment kits
- Online access for plan sponsors, participants, and financial advisors
- Telephone voice response system available in English and Spanish
- Roth 401(k) feature available
- **Fully-automatic plan options:** automatic enrollment and automatic deferral increases in combination with age-appropriate QDIAs
- Age-weighted and new comparability profit sharing options available

PLAN ADMINISTRATION FEES

ONE-TIME SETUP FEE		
New plans:	$1,000	
Takeover plans:	$1,500	

ANNUAL FEES		
Average Assets Per Participant	*Base Fee*	*Per Participant Fee*
$0 – $10,000	$1,700	$35
$10,001 – $20,000	$1,700	$25
$20,001 – $30,000	$1,700	$15
$30,001 – $40,000	$1,700	$5
$40,001 and over	$1,700†	$0

†*SPECIAL PRICING — DISCOUNT!*

Plans with at least a $40,000 average account balance AND at least $1 million in assets receive a 100% discount on annual plan administration fees.

Eligibility for the discount is subject to certain restrictions; contact Seligman Advisors, Inc. for details. The plan must be using a basic plan document and offer the Seligman Time Horizon Matrix investment strategy. The plan's fees are calculated based on the plan demographics at the end of each quarter.

Additional fees may apply. Fees are subject to Seligman Advisors' approval. Obtain a customized proposal for details.

Plan administration provided by Ascensus℠ (formerly BISYS). Ascensus receives compensation from certain mutual funds or their affiliates, including their transfer agents (e.g., Seligman Data Corp.), to cover expenses relating to services that Ascensus provides to the funds, including, but not limited to, the purchase and redemption of shares, participant-level fund recordkeeping and delivery of fund prospectuses and related materials. Please refer to the Recordkeeping Service Agreement in the Plan Establishment Kit for more details. Ascensus℠ is a service mark used under license by Ascensus, Inc.

Diversification through asset allocation does not assure a profit or protect against loss in a declining market.

This material is authorized for use only in the case of a concurrent or prior delivery of the offering prospectus of a Seligman Mutual Fund. You should consider the investment objectives, risks, charges, and expenses of a Fund carefully before investing. The prospectus, which contains information about these factors and other important information about a Fund, should be read carefully before investing.

* New plans with at least 100 eligible employees may also qualify. Contact Seligman Advisors, Inc. for details.

***REQUEST A PROPOSAL TODAY!* COMPLETE THE PROPOSAL REQUEST FORM ON THE BACK OF THIS PAGE AND FAX IT TO SELIGMAN AT 212-922-5740.**