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DALBAR Announces the 2013 Investor Statement Champions

(Boston, MA. January 9, 2014) DALBAR, Inc. released its 16th annual *Trends and Best Practices in Investor Statements* report which evaluates the statement's ability to address the needs of both investors and financial advisors. The firms ranked #1 include: BlackRock for mutual funds, Mass Mutual for defined benefit, Merrill Lynch for defined contribution, Pershing for brokerage, Prudential for total retirement, and SunAmerica for annuities.

The industry-leading financial statements adhere to the 5 C's of user-friendly financial communication. These hallmarks form the foundation of effective customer relations, marketing capability and customer loyalty. These industry leaders understand that consumers want:

- **Clarity** that allows consumers to easily understand the information being provided
- **Content** that is comprehensive, detailed and useful
- **Choices** that empower consumers in making financial decisions to accomplish their goals
- **Customer Service** that promotes a positive relationship with the firm
- **Creative Design** that supports all communication with appropriate visual elements

"The investor statement, while born from regulatory requirements, is the firm's most powerful communication tool and these industry leaders recognize that to be true," said Kathleen Whalen, Managing Director at DALBAR. She added, "Used strategically the financial statement will help investors better understand their financial health and strengthen the relationship with not only them but those that advise them."

DALBAR takes a systematic approach to evaluating statements using a method that has been developed and refined over the past two decades. Statements earned credit for including features that strongly impact an investor's ability to act prudently and make financial decisions. Features include the ability to understand the significance of the information, answer pertinent questions and utilize design elements that enhanced their overall effectiveness.

The table below includes the firms that rated "excellent" in each industry sector, listed in alphabetical order:

Firms Awarded DALBAR's '**Excellent**' statement designation in 2013

BROKERAGE	MUTUAL FUND	DEFINED CONTRIBUTION	DEFINED BENEFIT	TOTAL RETIREMENT
Baird	BlackRock	American Funds	MassMutual	Prudential Financial
Edward Jones	Federated Funds	Great West	Prudential Financial	
Merrill Lynch	Invesco	MassMutual		
Morgan Stanley	Lord Abbett	Merrill Lynch		
National Financial	Transamerica	Principal Financial Group		
Pershing		Prudential Financial		
Raymond James		Securian		
UBS Financial Services		TIAA-Cref		
Wells Fargo		T. Rowe Price		

The DALBAR Trends & Best Practices Report is one of a suite of reports that are available as part of DALBAR's Statement Strategies. For more information on Statement Strategies or the 16th Annual Trends & Best Practices, please visit the web site at www.dalbar.com or contact Brooke Halloran at 617-624-7273 or bhalloran@dalbar.com

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