

## List of Third Party Model Provider Models That Include Lockwood Affiliate Advised/Sub-Advised Funds\*

as of March 31, 2023

### Third Party Model Provider Models (including Strategists)

| Model Provider                    | Model  |
|-----------------------------------|--|
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Aggressive Growth |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Balanced          |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Conservative      |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Growth            |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Growth Income     |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Income            |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Income Growth     |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Maximum Growth    |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Moderate Growth   |
| Key Select Portfolio              | Key Select Portfolio - Tax Advantage Moderate Income   |
| Money Concepts Capital Corp       | Money Concepts Dynamic Conservative                    |
| Putnam Investment Management, LLC | Putnam Aggressive Growth Model                         |
| Putnam Investment Management, LLC | Putnam Balanced Growth Model                           |
| Putnam Investment Management, LLC | Putnam Growth Model                                    |
| Sanctuary Asset Management        | SAM Dynamic Income Balanced (50/50)                    |
| Sanctuary Asset Management        | SAM Dynamic Income Equity Only (100/0)                 |
| Sanctuary Asset Management        | SAM Strategic Income - Balanced (50/50)                |
| Sanctuary Asset Management        | SAM Strategic Income - Equity (100/0)                  |

### Affiliate Advised/Sub-Advised Mutual Funds and Exchange-Traded Funds (ETFs) Available in the Command Sponsor Unified Managed Account (UMA) Program(s) for Individual Selection

| Mutual Fund/ETF Name  | Symbol |
|---|--------|
| AMERICAN BEACON SMALL-CAP VALUE FUND CLASS Y                        | ABSYX  |
| BNY MELLON SMALL/ MID CAP GROWTH FUND CLASS I                       | SDSCX  |
| LATTICE STRATEGIES TR HARTFORD MULTIFACTOR DEVELOPED MKTS EX US ETF | RODM   |
| WISDOMTREE TR EMERGING MKTS HIGH DIVID FD                           | DEM    |
| WISDOMTREE TR U S MIDCAP DIVID FD                                   | DON    |
| WISDOMTREE TR U S SMALLCAP DIVID FD                                 | DES    |

\*A Third Party Model Provider (including Strategists) or UMA program sponsor may independently select a mutual fund or ETF which is advised or sub-advised by an investment advisory affiliate of Lockwood Advisors, Inc. (Lockwood). A conflict exists because Lockwood has the discretion to replace such mutual fund or ETF in Lockwood managed accounts, thereby affecting the compensation which may be earned by the affiliate. When Lockwood becomes aware that an affiliate is functioning in such capacity, and where Lockwood chooses not to replace the mutual fund or ETF, or the Model Provider or UMA program sponsor is unable (or unwilling) to replace the mutual fund or ETF, Lockwood will rebate the fees received by the affiliated adviser to the client. As of the date noted, the above listed models and mutual funds/ETFs were eligible for a rebate of fees received by the affiliated adviser. Model Providers and UMA program sponsors, independent from Lockwood, determine which mutual funds and/or ETFs to include in their respective models or UMA programs. Investment options available for selection vary based on the program sponsor.



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