

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

as of June 29, 2022

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

Model Provider	Model
Bluestone Capital Management, LLC.	Bluestone Income
Confluence Investment Management, LLC	Confluence Asset Allocation Aggressive Growth ETF Model
Confluence Investment Management, LLC	Confluence Asset Allocation Growth & Tax Exempt Income ETF Model
Confluence Investment Management, LLC	Confluence Asset Allocation Growth & Taxable Income ETF Model
Confluence Investment Management, LLC	Confluence Asset Allocation Growth ETF Model
Confluence Investment Management, LLC	Confluence Asset Allocation Income Tax Exempt with Growth ETF Model
Confluence Investment Management, LLC	Confluence Asset Allocation Income Taxable with Growth ETF Model
Putnam Investment Management, LLC	Putnam Aggressive Growth Model
Putnam Investment Management, LLC	Putnam Balanced Growth Model
Putnam Investment Management, LLC	Putnam Growth Model
Sage Advisory Services, LTD. Co	Sage ESG Global Equity
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
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

\*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 to you for selection vary based on program sponsor.

