

# ROCKEFELLER

## CAPITAL MANAGEMENT

### Investment Strategy Trade Execution Away Information Rockefeller Private Wealth Advisory Platform

Rockefeller Financial LLC, doing business as Rockefeller Capital Management (“RCM”), is a dually registered broker-dealer and investment adviser that is the sponsor of the Rockefeller Private Wealth Advisory Platform (“Platform”). As described in more detail in the Platform’s Form ADV Wrap Fee Brochure, execution of securities transactions in Separately Managed Account (“SMA”), Unified Managed Accounts (“UMA”) and Fund Strategist Portfolio Strategies is directed by either by individual Investment Manager (“Investment Managers”) or a third-party firm RCM has retained for various administrative, investment advisory and/or other services, Envestnet Asset Management, Inc. and/or its affiliates (collectively, “Envestnet”).

Transactions for the purchase and/or sale of securities and other investments for each client’s accounts are generally placed through RCM’s clearing broker-dealer, National Financial Services LLC or its affiliates (“NFS”), if the assets are custodied at NFS. However, if Envestnet or an Investment Manager reasonably believes in good faith, and consistent with applicable fiduciary standards, that another broker or dealer will provide better execution considering all factors including the net price, then it may trade through firms other than NFS. This is generally referred to as “trading away” or a “step-out trade.” This includes the aggregation of the securities for more than one client utilizing another broker-dealer to obtain favorable execution to the extent permitted by law (“batch orders”). In the foregoing cases, clients may be subject to transaction costs and fees that are in addition to their wrap fees. Those additional costs or fees generally will be included in the net price of the security, and not reflected as a separate charge on your trade confirmations or account statements.

When Envestnet has trading authority, Envestnet will seek execution from another broker-dealer for fixed income securities generally when NFS is unable or unwilling to do so and only to sell fixed income positions a client contributes to an account that require liquidation to implement the selected investment strategy. For equity securities, Envestnet will generally seek execution from another broker-dealer for certain batch orders and American Depository Receipt transactions.

For various Strategies (including fixed income and balanced), the Investment Managers (and not Envestnet) have discretion over broker-dealer selection and execution and are responsible for meeting best execution obligations. For Strategies that primarily invest in fixed income or other securities for which a markup or markdown is charged by the executing broker-dealer, most or up to all trades will be executed through firms other than NFS.

A summary of trading away information for 2023 for various Strategies (column 1) is provided below. Column 2 identifies the dollar weighted percentage of transactions executed away from NFS; column 3 shows the additional costs, if any, incurred by RCM clients in 2023, expressed as an average of cents per share (“CPS”) or basis points (“BPS”). The information is for the calendar year 2023 and has not been independently verified by RCM. Neither Envestnet, Investment Managers nor RCM can represent that past trading away practices are indicative of current or future practices. For fixed income security liquidation transactions, Envestnet utilizes a vendor that charges service fees to assist with the transactions. In 2023, less than 1% of the Envestnet-traded fixed income securities transactions were executed at broker-dealers other than NFS, with per transaction service fees ranging from approximately \$0 to \$350. These service fees will apply to any Strategy where a client contributes fixed income securities and are not included in the cost data in Column 3 below.

For more information on the Platform’s brokerage and other practices, please refer to the Platform’s Form ADV Wrap Brochure, which is available at [www.rockco.com](http://www.rockco.com) or from your PA.

<b>Investment Strategy Name</b>	<b>Percentage of Transactions Executed Away from NFS:</b>	<b>Additional Costs (if any) - Average CPS or BPS:</b>
Acadian International ADR Managed Account	0.42%	< .1 CPS
AB Tax Aware Fixed Income Managed Account	71.04%	0
AB Municipal Income Managed Account	67.49%	0
AB Concentrated International Growth Equity Managed Account	2.42%	0
AB Strategic Research Managed Account	0.00%	0
AB Sustainable Global Thematic Equity Managed Account	0.00%	0
Advisor Asset Management Core Plus Bond Managed Account	100.00%	0
ActivePassive PMC ETF - Balanced	0.00%	0
ActivePassive PMC ETF - Balanced Equity	7.86%	0
ActivePassive PMC ETF - Diversified Equity	0.00%	0
ActivePassive PMC ETF - Diversified Equity w Income	0.48%	0
Alley Company Dividend Portfolio Managed Account	0.00%	0
Alger Weatherbie Specialized Growth Managed Account	0.00%	0
Alger Small Cap Growth Managed Account	0.00%	0
Alta Capital All Cap Quality Growth Managed Account	0.00%	0
Alta Capital Large Cap Quality Growth Managed Account	0.00%	0
Alta Capital SMID Managed Account	0.00%	0
Allspring Mid Value Managed Account	0.00%	0
Allspring CoreBuilder Municipal Income Managed Account	31.22%	0
APA High Quality Interm Tax-Exempt Managed Account	100.00%	0
APA Enhanced Intermediate Managed Account	100.00%	0
APA Short Term-Exempt Managed Account	100.00%	0
American Funds Model: Conservative Growth and Income (F3)	0.00%	0
American Funds Model: Conservative Income (F3)	0.00%	0
American Funds Model: Global Growth Strategy (F3)	3.64%	< .1 CPS
American Funds Model: Growth and Income Strategy (F3)	1.04%	0
American Funds Model: Growth Strategy (F3)	1.50%	0
American Funds Model: Moderate Growth (F3)	0.00%	0
American Funds Model: Moderate Growth and Income (F3)	0.00%	0
American Funds Retirement Income Model: Conservative Strategy (F3)	0.00%	0
American Funds Retirement Income Model: Enhanced Strategy (F3)	0.00%	0
American Funds Retirement Income Model: Moderate Strategy (F3)	0.00%	0
American Funds Tax-Aware Conservative Growth and Income Model Portfolio (F3)	47.79%	< .1 CPS

American Funds Tax-Aware Growth and Income Model Portfolio (F3)	49.61%	< .1 CPS
American Funds Tax-Aware Moderate Growth and Income Model Portfolio (F3)	46.76%	< .1 CPS
Amundi Pioneer Fundamental Growth Managed Account	0.00%	0
Aperio Custom	0.00%	0
Appleton Intermediate Municipal Managed Account	100.00%	0
Appleton Short Term Municipal Managed Account	100.00%	0
Appleton High Grade Intermediate Government/Credit Managed Account	100.00%	0
Anchor Dividend Income Value Wrap Managed Account	0.00%	0
Anchor Mid Cap Value Wrap Managed Account	0.00%	0
Anchor Small Cap Value Wrap Managed Account	0.00%	0
Aristotle International ADR Managed Account	12.68%	0
Aristotle Value Equity Managed Account	0.00%	0
ARK Disruptive Innovation Managed Account	0.00%	0
ARK Disruptive Innovation ex-Cryptocurrency Managed Account	0.00%	0
Atlanta Capital High Quality Calvert Equity Managed Account	0.00%	0
Atlanta Capital High Quality Select Equity Managed Account	0.00%	0
Atlanta Capital High Quality Small Cap Managed Account	0.00%	0
Atlanta Capital High Quality Small to Mid Cap Managed Account	0.00%	0
Bahl & Gaynor Income Growth Managed Account	0.00%	0
Bahl & Gaynor Large Cap Quality Growth Managed Account	0.00%	0
Bahl & Gaynor Smig® (Small/Mid Cap Income Growth SMA) Managed Account	0.00%	0
Belle Haven Muni PLUS Managed Account	100.00%	0
Belle Haven Ladder PLUS Managed Account	100.00%	0
Belle Haven Taxable PLUS Managed Account	100.00%	0
Belle Haven Taxable Ladder PLUS Managed Account	100.00%	0
Berkshire Dividend Growth Managed Account	0.00%	< .1 CPS
BlackRock 10/90 Target Allocation ETF Portfolio	99.13%	< .1 CPS
BlackRock 100/0 Global Allocation (GA) Selects Portfolio	48.00%	0
BlackRock 20/80 Global Allocation (GA) Selects Tax Aware Portfolio	6.34%	0
BlackRock 20/80 Target Allocation ETF Portfolio	75.75%	0
BlackRock 20/80 Target Allocation Tax-Aware ETF Portfolio	60.97%	0
BlackRock 30/70 Target Allocation ETF Portfolio	97.24%	< .1 CPS
BlackRock 30/70 Target Allocation Tax-Aware ETF Portfolio	97.26%	< .1 CPS
BlackRock 40/60 Global Allocation (GA) Selects Portfolio	58.23%	< .1 CPS
BlackRock 40/60 Global Allocation (GA) Selects Tax Aware Portfolio	33.92%	< .1 CPS

BlackRock 40/60 Target Allocation ESG ETF Portfolio	0.00%	0
BlackRock 40/60 Target Allocation ETF Portfolio	74.95%	< .1 CPS
BlackRock 40/60 Target Allocation Tax-Aware ETF Portfolio	79.51%	0
BlackRock 50/50 Target Allocation ETF Portfolio	56.50%	0
BlackRock 50/50 Target Allocation Tax-Aware ETF Portfolio	74.05%	0
BlackRock 60/40 Global Allocation (GA) Selects Portfolio	31.46%	0
BlackRock 60/40 Global Allocation (GA) Selects Tax Aware Portfolio	39.78%	0
BlackRock 60/40 Long Horizon Mutual Fund Portfolio	0.00%	0
BlackRock 60/40 Target Allocation ESG ETF Portfolio	66.25%	0
BlackRock 60/40 Target Allocation ETF Portfolio	48.07%	0
BlackRock 60/40 Target Allocation Tax-Aware ETF Portfolio	54.75%	0
BlackRock 70/30 Target Allocation ETF Portfolio	53.95%	0
BlackRock 70/30 Target Allocation Tax-Aware ETF Portfolio	65.42%	0
BlackRock 80/20 Global Allocation (GA) Selects Portfolio	16.71%	< .1 CPS
BlackRock 80/20 Global Allocation (GA) Selects Tax Aware Portfolio	21.53%	< .1 CPS
BlackRock 80/20 Target Allocation ESG ETF Portfolio	82.42%	0
BlackRock 80/20 Target Allocation ETF Portfolio	62.26%	0
BlackRock 80/20 Target Allocation Tax-Aware ETF Portfolio	54.51%	0
BlackRock 90/10 Target Allocation ETF Portfolio	83.55%	0
BlackRock Capital Appreciation Managed Account	0.00%	< .1 CPS
BlackRock Equity Dividend Managed Account	0.00%	0
BlackRock Equity Target Allocation ESG ETF Portfolio	82.37%	0
BlackRock Equity Target Allocation ETF Portfolio	74.08%	0
BlackRock Fixed Income Target Allocation ETF Portfolio	99.81%	0
BlackRock Fixed Income Target Allocation Tax-Aware ETF Portfolio	97.42%	< .1 CPS
BlackRock Foundational 30/70 Strategy	71.14%	< .1 CPS
BlackRock Foundational 40/60 Strategy	71.89%	< .1 CPS
BlackRock Foundational 50/50 Strategy	37.39%	< .1 CPS
BlackRock Foundational 60/40 Strategy	26.68%	< .1 CPS
BlackRock Foundational 70/30 Strategy	23.10%	< .1 CPS
BlackRock Foundational 80/20 Strategy	26.79%	< .1 CPS
BlackRock Foundational 90/10 Strategy	13.20%	< .1 CPS
BlackRock Foundational Tax Aware 30/70 Strategy	65.41%	< .1 CPS
BlackRock Foundational Tax Aware 40/60 Strategy	66.89%	< .1 CPS
BlackRock Foundational Tax Aware 50/50 Strategy	55.55%	< .1 CPS

BlackRock Foundational Tax Aware 60/40 Strategy	62.71%	< .1 CPS
BlackRock Foundational Tax Aware 70/30 Strategy	17.08%	< .1 CPS
BlackRock Foundational Tax Aware 80/20 Strategy	16.20%	< .1 CPS
BlackRock Foundational Tax Aware 90/10 Strategy	45.49%	< .1 CPS
BlackRock Fundamental Core Taxable Fixed Income Managed Account	100%	0
BlackRock Global Dividend Income ADR Managed Account	2.94%	0
BlackRock International Equity Managed Account	2.20%	< .1 CPS
BlackRock Intermediate Municipal Fixed Income Managed Account	100%	0
BlackRock Intermediate Taxable Fixed Income Managed Account	100%	0
BlackRock Large Cap Core Managed Account	0.00%	0
BlackRock Large Cap Value Managed Account	0.00%	0
BlackRock Long-Term Municipal Fixed Income Managed Account	100%	0
Blackrock Multi-Asset Income ETF Conservative Portfolio	19.01%	0
BlackRock Multi-Asset Income Moderate Growth Portfolio	33.44%	0
BlackRock Multi-Asset Income Moderate Portfolio	27.53%	0
BlackRock Sector Rotation 30/70 Strategy	0.00%	0
BlackRock Sector Rotation 40/60 Strategy	62.20%	< .1 CPS
BlackRock Sector Rotation 50/50 Strategy	29.83%	< .1 CPS
BlackRock Sector Rotation 60/40 Strategy	12.80%	< .1 CPS
BlackRock Sector Rotation 70/30 Strategy	20.58%	< .1 CPS
BlackRock Sector Rotation 80/20 Strategy	29.74%	< .1 CPS
BlackRock Sector Rotation 90/10 Strategy	35.38%	0
BlackRock Short-Term Municipal Fixed Income Managed Account	100%	0
BlackRock Short-Term Taxable Fixed Income Managed Account	100%	0
BlackRock Target Income Aggressive Portfolio	76.00%	< .1 CPS
BlackRock Target Income Core Portfolio	63.39%	0
BlackRock Target Income ETF Aggressive Portfolio	52.73%	0
BlackRock Target Income ETF Core Portfolio	61.79%	0
BlackRock Target Income ETF High Portfolio	7.31%	< .1 CPS
BlackRock Target Income ETF Moderate Portfolio	71.50%	< .1 CPS
BNYM Walter Scott International Stock ADR Managed Account	2.05%	0
Boston Common International Equity SRI Managed Account	0.98%	0
Boyd Watterson Investment Grade Intermediate SMA Fixed Income	100.00%	0
Boyd Watterson Ultra Enhanced Core SMA Fixed Income	100.00%	0
Brandes Global Equity Value ADR Managed Account	0.00%	0

Bramshill Income Performance Strategy Managed Account	100.00%	1.8 CPS
Breckinridge Intermediate Government Credit Managed Account	100.00%	0
Breckinridge Intermediate Sustainable Government Credit Managed Account	100.00%	0
Breckinridge Intermediate Tax-Exempt Muni Managed Account	100.00%	0
Breckinridge Intermediate Sustainable Tax-Efficient	99.67	0
Breckinridge Limited Tax-Efficient Muni Managed Account	100.00%	0
Breckinridge Limited/Intermediate Tax-Efficient Blend Managed Account	98.81%	0
Brentview Dividend Growth Managed Account	0.00%	0
Brookmont Core Dividend Equity Managed Account	0.00%	0
Brookmont Dividend Growth Managed Account	0.00%	0
Brookmont Quality Growth Managed Account	0.00%	0
Brown Advisory Large-Cap Sustainable Growth Managed Account	0.00%	0
Brown Advisory U.S. Large-Cap Growth Equity Managed Account	0.00%	0
CAIM Dividend Focus Managed Account	0.00%	0
Calvert International Responsible Index ADR Mapped	0.00%	0
Cambiar International ADR Managed Account	18.64%	0
Campbell Newman Dividend Growth Equity Managed Account	0.00%	0
Capital Group Global Equity SMA	6.96%	0
Capital Group Global Growth SMA	0.08%	< .1 CPS
Capital Group International Equity SMA	2.52%	0
Capital Group Core Bond SMA	100.00%	0
Capital Group U.S. Core SMA	0.00%	0
Capital Group US Conservative Growth and Income Managed Account	0.00%	0
Capital Group US Equity SMA	0.00%	0
Capital Group US Income & Growth Managed Account	0.00%	0
Capital Group Intermediate Municipal SMA	100.00%	0
Capital Group World Dividend Growers SMA	0.00%	0
Causeway International Value ADR Managed Account	0.46%	0
ClearBridge All Cap Growth Portfolios	0.00%	0
ClearBridge Appreciation ESG Portfolios	0.00%	0
ClearBridge Appreciation Portfolios	0.00%	0
ClearBridge Dividend Strategy ESG Managed Account	0.00%	0
ClearBridge Dividend Strategy Portfolios	0.00%	0
ClearBridge International Growth ADR ESG Portfolios	2.73%	0
ClearBridge International Growth ADR Portfolios	5.50%	0

ClearBridge Large Cap Growth ESG Portfolios	0.00%	0
ClearBridge Large Cap Growth Portfolios	0.00%	0
ClearBridge Large Cap Value ESG Portfolios	0.00%	0
ClearBridge Large Cap Value Portfolios	0.00%	0
ClearBridge Multi Cap Growth Portfolios	0.00%	0
ClearBridge Small Cap Portfolios Managed Account	0.00%	0
Clinton Investment Muni Credit Opportunities Managed Account	100.00%	0
Clinton Investment Muni Market Duration Managed Account	100.00%	0
Clinton Investment Muni Short Duration Managed Account	100.00%	0
Clifford Capital All Cap Value Managed Account	0.00%	0
Cohen & Steers Institutional & Exchange-Traded Preferred Securities Managed Account	0.00%	0
Cohen & Steers REIT Total Return Managed Account	0.00%	0
Coho Partners Relative Value Equity Managed Account	0.00%	0
Columbia Contrarian Core Managed Account	0.00%	0
Columbia Dividend Income Managed Account	0.00%	0
Columbia Large Cap Growth Managed Account	0.00%	0
Columbia Select Large Cap Growth Managed Account	0.00%	0
Congress Large Cap Growth Managed Account	0.00%	0
Congress Mid Cap Growth Managed Account	0.00%	0
Copeland Small Cap Dividend Growth Managed Account	0.00%	0
Crossmark Large Cap Core Managed Account	0.00%	0
Davidson Multi-Cap Equity Managed Account	0.00%	0
Davis Global ADR Managed Account	0.00%	0
Davis International SMA Managed Account	0.00%	0
Davis Large Cap Value Managed Account	0.00%	0
Dearborn Core Rising Dividends Managed Account	0.00%	0
Delaware Large Cap Value Managed Account	0.00%	0
Delaware US Smid Cap Core Equity Managed Account	0.00%	0
DeRoy & Devereaux All Cap Equity Managed Account	0.00%	0
Diamond Hill Large Cap Managed Account	0.00%	0
Dimensional Core 100/0 Wealth Model	0.00%	0
Dimensional Core 60/40 Wealth Model	0.00%	0
Dimensional Core 80/20 Wealth Model	0.00%	0
Dimensional Core Plus 100/0 Wealth Model	0.00%	0
Dimensional Sustainability 100/0 Wealth Strategy	0.00%	0

Dimensional Tax-Sensitive 20/80 Wealth Model	0.00%	0
Dimensional Tax-Sensitive 80/20 Wealth Model	0.00%	0
Dolan McEniry Core Plus Managed Account	100.00%	0
Dolan McEniry Credit Managed Account	100.00%	0
Dolan McEniry Investment Grade Managed Account	100.00%	0
Dolan McEniry Short Duration Managed Account	100.00%	0
Eagle Equity Income Managed Account	0.00%	0
Eagle Mid Cap Growth Managed Account	0.00%	0
Earnest Partners Mid Cap Core Managed Account	0.00%	0
Earnest Partners Mid Cap Value Managed Account	0.00%	0
Earnest Partners Small Cap Core Managed Account	0.00%	0
Earnest Partners Small Cap Value Managed Account	0.00%	0
Earnest Partners SMID Core Managed Account	0.00%	0
Earnest Partners SMID Value Managed Account	0.00%	0
Eaton Vance Large Cap Value Managed Account	0.00%	0
Ecofin Global Renewables Infrastructure Managed Account	0.00%	0
Epoch Global Equity Shareholder Yield ADR Managed Account	1.67%	0
Investnet UMA v2	1.38%	< .1 CPS
Investnet Fixed Income	100.00%	0
Equity Investment Corporation All Cap Value Managed Account	0.00%	0
EquityCompass Global Leaders Managed Account	0.00%	0
Fayez Sarofim & Co. Large Cap Core Managed Account	0.00%	0
Federated Global Strategic Value Dividend Managed Account	5.71%	0
Federated Hermes CW Henderson Intermediate Municipal Managed Account	100.00%	0
Federated Hermes CW Henderson Ultrashort Municipal Managed Account	100.00%	0
Federated Strategic Value Dividend Managed Account	0.00%	0
Federated MDT All Cap Core Managed Account	0.00%	0
Federated MDT Large Cap Growth	0.00%	0
Federated MDT Large Cap Value	0.00%	0
Federated MDT Mid Cap Growth Managed Account	0.00%	0
Federated MDT Small Cap Growth	0.00%	0
Federated MDT Small Cap Core	0.00%	0
Federated MDT Small Cap Value	0.00%	0
Fiera Small Cap Growth Managed Account	0.00%	0
Fiera SMID Growth Managed Account	0.00%	0

First Eagle Overseas ADR Managed Account	0.00%	0
First Trust RBA US Equity ETF Strategy	0.00%	< .1 CPS
First Trust Aggressive Growth ETF Strategy	28.46%	0
First Trust Equity ETF Strategy	17.97%	0
First Trust Balanced Growth ETF Strategy	4.87%	0
First Trust Conservative ETF Strategy	8.81%	0
First Trust Moderate Growth ETF Strategy	3.72%	0
First Trust Conservative Growth ETF Strategy	26.95%	0
First Trust Core Plus Fixed Income Strategy	0.00%	0
First Trust High Income ETF Strategy	0.00%	0
First Trust Small Cap Core Managed Account	0.00%	0
Foundry Large Cap Value Managed Account	0.00%	0
Franklin Intermediate Fixed Income Managed Account	100.00%	0
Franklin Intermediate Municipal Fixed Income Managed Account	100.00%	0
Templeton International ADR Equity Portfolios	0.00%	0
Gateway Index/RA Managed Account	0.00%	0
Geneva Capital US Small Cap Growth Managed Account	0.00%	0
Glenmede Small Cap Core Managed Account	0.00%	0
Goldman Sachs 60/40 ETF Model Portfolio	6.12%	0
Goldman Sachs 70/30 ETF Model Portfolio	96.48%	0
Goldman Sachs 90/10 ETF Model Portfolio	66.83%	0
Goldman Sachs Non-US Equity Income Managed Account	0.00%	0
Goldman Sachs US Mid Cap Growth Managed Account	0.00%	0
Goldman Sachs US Strategic Growth Managed Account	0.00%	0
Goldman Sachs Multi-Manager (non-GS) 40/60 ETF Model Portfolio	100.00%	< .1 CPS
Goldman Sachs Multi-Manager (non-GS) 50/50 ETF Model Portfolio	42.14%	< .1 CPS
Goldman Sachs Multi-Manager (non-GS) 60/40 ETF Model Portfolio	96.42%	< .1 CPS
Goldman Sachs Multi-Manager (non-GS) 80/20 ETF Model Portfolio	72.51%	< .1 CPS
Goldman Sachs Multi-Manager (non-GS) 90/10 ETF Model Portfolio	85.68%	< .1 CPS
Goldman Sachs Multi-Manager 40/60 ETF Model Portfolio	100.00%	< .1 CPS
Goldman Sachs Multi-Manager 60/40 ETF Model Portfolio	20.18%	< .1 CPS
Goldman Sachs Multi-Manager 80/20 ETF Model Portfolio	90.64%	< .1 CPS
GS TACS Tax Loss Harvesting (TLH) S&P 500 Strategy Managed Account	0.00%	0
Granite Small Core Select Equity Managed Account	0.00%	< .1 CPS
GW&K 2-8 Year Active Municipal Bond Managed Account	100.00%	0

GW&K Core Bond Managed Account	100.00%	0
GW&K Enhanced Core Taxable Managed Account	100.00%	0
GW&K Intermediate Municipal Managed Account	100.00%	0
GW&K Municipal Enhanced Yield Managed Account	100.00%	0
GW&K Small Cap Core Managed Account	0.00%	0
GW&K Small/Mid Cap Equity Managed Account	0.00%	0
GW&K Total Return Taxable Managed Account	100.00%	0
Harding Loevner International Equity ADR Managed Account	8.43%	< .1 CPS
Heitman REIT Managed Account	0.00%	0
Hillman Advantage Value Equity Portfolio	0.00%	0
Hilton Dividend & Yield Strategy (DIVYS)	0.00%	0
Hilton Capital - Tactical Income Managed Account	18.19%	< .1 CPS
Impax Large Cap Strategy Managed Account	0.00%	0
Invesco Comstock Managed Account	0.00%	0
Invesco EQV International Equity ADR Managed Account	0.25%	0
Invesco Strategic Active 60/40 Portfolio	0.00%	0
Invesco US Real Estate Securities Managed Account	0.00%	0
Invesco PMC ActivePassive - Agressive	0.00%	0
Invesco PMC ActivePassive - Capital Preservation	0.00%	0
Invesco PMC ActivePassive - Conservative Growth	0.00%	0
Invesco PMC ActivePassive - Growth	0.00%	0
Invesco PMC ActivePassive - Moderate	0.00%	0
Invesco PMC ActivePassive - Moderate Growth	0.00%	0
Janus Henderson Concentrated Growth Managed Account	0.00%	0
Janus Henderson Mid Cap Growth Managed Account	0.00%	0
Janus Henderson Mid Cap Value Managed Account	0.00%	0
Jennison Large Cap Growth Equity SMA	0.00%	0
Jennison International Equity Opportunities SMA	0.00%	0
John Hancock AM Fundamental Large Cap Core Managed Account	0.00%	0
JP Morgan Equity Income Managed Account	0.00%	0
JP Morgan Growth Advantage Managed Account	0.00%	0
JP Morgan International ADR Managed Account	0.00%	0
JP Morgan Mid Cap Value Managed Account	0.00%	0
JP Morgan Large Cap Growth Managed Account	0.00%	0
JP Morgan Tactical 100/0 ETF Model	13.27%	0

Kayne Anderson Rudnick Small to Mid Cap Core Managed Account	0.00%	0
Kayne Anderson Rudnick Mid Cap Core Managed Account	0.00%	0
Kayne Anderson Rudnick Small-Mid Cap Quality Value Managed Account	0.00%	0
Kayne Anderson Rudnick Small Cap Quality Value Managed Account	0.00%	0
Lazard Emerging Markets Core Equity Select ADR Managed Account	0.00%	0
Lazard Emerging Markets Equity Select ADR Managed Account	0.00%	0
Lazard Global Equity Income ADR Managed Account	3.71%	0
Lazard Global Equity Select Managed Account	1.11%	0
Lazard International Equity Select Managed Account	8.57%	0
Lazard Int'l Equity Select w/Emerging Markets Managed Account	3.81%	0
Loomis Sayles Medium Municipal (10 Year) Managed Account	100.00%	4-7.65 Bps
Loomis Sayles Core Fixed Income Managed Account	100.00%	0-5 Bps
Loomis Sayles Large Cap Growth Managed Account	0.00%	0
Lord Abbett 1-10 Year Municipal Ladder Managed Account	100%	0
Lord Abbett 1-20 Year Municipal Ladder Managed Account	100%	0
Lord Abbett 1-5 Year Municipal Ladder Managed Account	100%	0
Lord Abbett Intermediate Tax-Exempt Fixed Income Managed Account	100%	0
Lord Abbett Short Municipal Managed Account	100%	0
Lord Abbett Convertible Managed Account	98%	0
Lord Abbett Tax Exempt Fixed Income Managed Account	100%	0
Lyrical U.S. Value Equity - Super Cap-Scaled Managed Account	0.00%	0
Madison High Quality Intermediate Government/Corporate Bond Managed Account	100%	0
Madison Large Cap Equity Managed Account	0.00%	0
Madison Mosaic ETF Moderate	0.00%	0
Martin Currie Emerging Markets Portfolios Managed Account	0.00%	0
MFS Large Cap Growth SMA	0.00%	0
MFS Large Cap Value Managed Account	0.00%	0
MFS Research International ADR SMA	1.27%	0
Morgan Stanley Applied Global Concentrated Equity Managed Account	0.00%	0
Morgan Stanley Applied Global Core Equity Managed Account	0.00%	0
Natixis Risk Efficient Conservative	0.00%	0
Natixis Risk Efficient Growth	0.00%	0
Natixis Risk Efficient Moderate	0.00%	0
Natixis Advisors AIA S&P ADR International Managed Account	0.00%	0
Natixis Advisors AIA S&P 1500 Index Managed Account	0.00%	0

Natixis Advisors AIA S&P 400 Index Managed Account	0.00%	0
Natixis Advisors AIA S&P 500 Index Managed Account	0.00%	0
Natixis Advisors AIA S&P 600 Index Managed Account	0.00%	0
Natixis Advisors AIA S&P Global 1500 Strategy (All Cap) Managed Account	0.00%	0
Natixis Advisors AIA S&P Global 500 Strategy (Large Cap) Managed Account	0.00%	0
Neuberger Berman ACC Taxable Managed Account	0.00%	0
Neuberger Berman Tax-Exempt Limited Maturity Fixed Income Managed Account	100.00%	.10-\$10
Neuberger Berman Tax-Exempt Intermediate Maturity Fixed Income Managed Account	100.00%	.10-\$10
Neuberger Berman Core Bond Managed Account	18.00%	0
Neuberger Berman Intermediate Maturity Fixed Income Managed Account	7%	0
Neuberger Berman International ADR Managed Account	0.00%	0
Neuberger Berman Large Cap Value Managed Account	0.00%	0
Neuberger Berman Large Cap Disciplined Growth Managed Account	0.00%	0
Neuberger Berman Rachlin Income Plus Managed Account	0.00%	0
Neuberger Berman Rachlin Energy Transition & Infrastructure Managed Account	0.00%	0
Neuberger Berman Sustainable Equity Managed Account	0.00%	0
New Frontier ETF Global Balanced Income Portfolio	0.68%	0
New Frontier ETF Global Equity Portfolio	0.17%	0
NFJ Global Sustainability Managed Account	1.11%	0
Nuveen (NAM) International Growth ADR Managed Account	0.00%	0
Nuveen (NAM) Stable Growth Managed Account	0.00%	0
Nuveen Total Return Municipal Bond Managed Account	69.00%	0
Nuveen Limited Maturity Municipal Managed Account	99.00%	0
Nuveen Long-Term Municipal Fixed Income Managed Account	99.00%	0
Nuveen Taxable Corporate Bond Ladder 1-10 Year Managed Account	0.00%	0
Nuveen U.S. Corporate Bond 1-15 Year Ladder Managed Account	0.00%	0
Nuveen Dividend Growth Managed Account	0.00%	0
Nuveen Small Cap Value Managed Account	0.00%	0
Nuveen Core Fixed Income Managed Account	0.00%	0
Nuveen Preferred Securities Managed Account	0.00%	0
Nuveen Intermediate Term High-Quality Municipal Bond Managed Account	99.00%	0
NXG Cushing Midstream Energy Strategy	0.00%	0
Oak Ridge All Cap Managed Account	0.00%	0
Oak Ridge Small to Mid Cap Growth Managed Account	0.00%	0
Old West All Cap Managed Account	0.00%	0

O'Shaughnessy All Cap Core Managed Account	0.00%	0
O'Shaughnessy Enhanced Dividend Managed Account	0.00%	0
O'Shaughnessy Market Leaders Value Managed Account	0.00%	0
O'Shaughnessy Small Cap Value Managed Account	0.00%	0
Palisade Small Cap Core Equity Managed Account	0.00%	0
Parametric Custom Core - 55% Russell 3000 25% Parametric US Div Yield 10% MSCI ACWI ex US ADR 10% Parametric Int'l Div Yield ADR	0.00%	0
Parametric Custom Core - 60% S&P 500 20% S&P 1000 20% MSCI ACWI ex US ADR	0.00%	0
Parametric Custom Core - 65% S&P 500 20% S&P 1000 15% MSCI ACWI ex US ADR	0.00%	0
Parametric Custom Core - 75% Russell 3000 25% MSCI ACWI ex US ADR	<1%	.005 CPS
Parametric Custom Core - 80% Russell 3000, 20% MSCI ACWI ex US ADR	0.00%	0
Parametric Custom Core - 80% RU3000, 20% MSCI ACWI ex US ADR	0.00%	0
Parametric Custom Core - 82.5% Russell 3000 17.5% MSCI ACWI ex US ADR	0.00%	0
Parametric Custom Core - 85% Ru 3000, 10% MSCI EAFE ADR, 5% MSCI EM AD	0.00%	0
Parametric Custom Core - 85% RU3000 15% MSCI ACWI ex US ADR	0.00%	0
Parametric Custom Core - 90% Russell 3000 10% Russell 2500	0.00%	0
Parametric Custom Core Calvert U.S. Large Cap Core Responsible Managed Account (External)	0.00%	0
Parametric Custom Core Developed International ADR – Benchmark: MSCI EAFE	0.00%	0
Parametric Custom Core Global (MSCI ACWI ADR)	<1%	.005 CPS
Parametric Custom Core Global ex US (MSCI ACWI ex US ADR)	0.00%	0
Parametric Custom Core Developed World ADR – Benchmark: MSCI World	0.00%	0
Parametric Custom Core Fundamental US – Benchmark: FTSE RAFI U.S. 1000 QSR	0.00%	0
Parametric Custom Core: MSCI World ex US ADR	0.00%	0
Parametric Custom Core US Broad Cap – Benchmark: Russell 3000	0.00%	0
Parametric Dividend Income Managed Account	0.00%	0
Parametric TABS Managed Municipal Intermediate Managed Account	100.00%	0
Parametric TABS Managed Municipal Long Managed Account	100.00%	0
Parametric TABS Managed Municipal Short Managed Account	100.00%	0
Parametric TABS Municipal Ladder 1-10 Yr Managed Account	100.00%	0
Parametric TABS Municipal Ladder 1-14 Yr Managed Account	100.00%	0
Parametric TABS Municipal Ladder 1-5 Yr Managed Account	100.00%	0
Parametric TABS Municipal Ladder 1-8 Yr Managed Account	100.00%	0
Parametric TABS Municipal Ladder 5-15 Yr Managed Account	100.00%	0
Parametric TABS Total Return Intermediate Managed Account	100.00%	0
Parametric TABS Total Return Limited Managed Account	100.00%	0

Parametric TABS Total Return Long Managed Account	100.00%	0
Parametric U.S. Corporate Ladder 1- 5 Yr Managed Account	100.00%	0
Parametric U.S. Corporate Ladder 1-10 Yr Managed Account	100.00%	0
Parametric U.S. Corporate Ladder 3-7 Year Managed Account	100.00%	0
Parametric U.S. Corporate Ladder 5 -10 Yr Managed Account	100.00%	0
Peregrine Large Cap Growth Managed Account	0.00%	0
PGIM Custom Harvest Global Equity Plus Managed Account	0.00%	0
PGIM Custom Harvest U.S. Equity Plus 50% Hedged Managed Account	0.00%	0
PGIM Custom Harvest U.S. Equity Plus Managed Account	0.00%	0
PGIM Custom Harvest Quality Municipal Plus	0.00%	0
PGIM Custom Harvest High Income Municipal Plus	0.00%	0
PIMCO Municipal Bond Managed Account	100.00%	0
PIMCO Real Return Managed Account	100.00%	0
PIMCO Total Return Managed Account	100.00%	0
PMC ActivePassive Foundation - Aggressive	0.00%	0
PMC ActivePassive Foundation - Moderate Growth	0.00%	0
PMC Select Strategic Portfolios – Capital Preservation	0.00%	0
PMC Strategic ETF Solution - Growth	0.00%	0
PMC Strategic ETF Solution – Moderate Growth	0.00%	0
Polen Capital Focus Growth Managed Account	0.00%	0
Polen Global Growth ADR Managed Account	0.00%	< .1 CPS
Polen U.S. Small Company Growth Managed Account	0.00%	0
Principal Aligned SMA MidCap Equity Managed Account	0.00%	0
Principal Edge SMA Concentrated MidCap Managed Account	0.00%	0
Principal Edge SMA Equity Income Managed Account	0.89%	0
Principal Edge SMA SMID Dividend Income Managed Account	0.00%	0
Principal SMA US Real Estate Equity Security Managed Account	0.00%	0
Port Capital Small Cap Equity Managed Account	0.00%	0
Principal Spectrum SMA Preferred Securities Managed Account	0.00%	0
Principal Spectrum SMA Preferred Securities with Capital Securities Managed Account	0.00%	< .1 CPS
Principal Spectrum SMA Tax Advantaged Preferred Securities Managed Account	0.00%	0
Quantitative Portfolio: Large Cap Core Catholic Values	0.00%	0
Raub Brock Dividend Growth Managed Account	0.00%	0
Reinhart Active Intermediate Fixed Income Managed Account	100%	0
Reinhart Genesis Private Market Value (Equity) Managed Account	0.00%	0

Renaissance International Equity ADR Managed Account	0.00%	0
Richard Bernstein Advisors Global Aggressive ETF Strategy	20.46%	0
Richard Bernstein Advisors Global Conservative ETF Strategy	21.28%	0
Richard Bernstein Advisors Global Moderate ETF Strategy	25.44%	0
Richard Bernstein Advisors Global Risk-Balanced Moderate ETF Strategy	25.13%	0
Richard Bernstein Advisors Global Equity ETF Strategy	15.24%	0
Richmond Capital Opportunistic Muni CEF Managed Account	0.00%	0
Riverbridge All Cap Growth Managed Account	0.00%	0
Riverbridge Small Cap Growth Managed Account	0.00%	0
Riverbridge Smid Cap Growth Managed Account	0.00%	0
RiverFront Dynamic Equity Income Managed Account	13.38%	0
RiverFront ETF Dynamic Equity Income Strategy	21.82%	0
RiverFront Global Growth Managed Account	25.42%	0
RiverFront ETF Moderate Growth & Income Strategy	2.17%	0
RiverFront Moderate Growth & Income Managed Account	0.88%	0
RiverFront ETF Global Allocation Strategy	37.24%	0
RiverFront Global Allocation Managed Account	7.89%	0
Rockefeller Core Taxable ESG Fixed Income Managed Account	95.66%	0
Rockefeller Core Taxable Fixed Income Managed Account	99.04%	0
Rockefeller Global ESG Equity (ADR's Only) Managed Account	0.00%	0
Rockefeller All Equity ETF Model Strategy	3.73%	< .1 CPS
Rockefeller Balanced Growth ETF Model Portfolio	1.42%	< .1 CPS
Rockefeller Balanced Growth Tax-Aware ETF Model Portfolio	0.00%	0
Rockefeller Capital Appreciation ETF Model Portfolio	1.36%	< .1 CPS
Rockefeller Capital Appreciation Tax-Aware ETF Model Portfolio	0.04%	< .1 CPS
Rockefeller Capital Preservation ETF Model Portfolio	0.00%	< .1 CPS
Rockefeller Defensive Growth ETF Model Portfolio	0.17%	< .1 CPS
Rockefeller Defensive Growth Tax-Aware ETF Model Portfolio	0.56%	0
Rockefeller Fixed Income Custom Strategy Solution Managed Account	100.00%	0
Rockefeller Focused Growth ETF Model Portfolio	0.82%	< .1 CPS
Rockefeller Focused Growth Tax-Aware ETF Model Portfolio	0.05%	0
Rockefeller Intermediate Tax Exempt ESG Fixed Income Managed Account	100.00%	0
Rockefeller Intermediate Tax Exempt Fixed Income Managed Account	99.89%	0
Rockefeller Intermediate Taxable Fixed Income Managed Account	100.00%	0
Rockefeller International ESG Equity - ADR Only Managed Account	0.00%	0

Rockefeller Long Term Tax Exempt Fixed Income Managed Account	99.59%	0
Rockefeller Preferred Securities - Rockefeller Traded Managed Account	97.97%	0
Rockefeller Quarterly Treasury Ladder (1 Year) Managed Account	100.00%	0
Rockefeller Quarterly Treasury Ladder (2 Year) Managed Account	100.00%	0
Rockefeller Monthly Treasury Ladder (1 - 6 months) Managed Account	100.00%	0
Rockefeller Short Term Tax Exempt Fixed Income Managed Account	99.63%	0
Rockefeller Short Term Taxable Fixed Income Managed Account	100.00%	0
Rockefeller Short Term Taxable ESG Fixed Income Managed Account	100.00%	0
Rockefeller Tax Aware Fixed Income Managed Account	100.00%	0
Rockefeller Tax Exempt Fixed Income Ladder (1-5 Year) Managed Account	100.00%	0
Rockefeller Tax Exempt Fixed Income Ladder Strategy (1-3 Year) Managed Account	99.69%	0
Rockefeller Tax Exempt Fixed Income Ladder (1-10 Year) Managed Account	99.86%	0
Rockefeller Tax Exempt Fixed Income Ladder Strategy (1-20 Year) Managed Account	99.82%	0
Rockefeller Taxable Fixed Income Ladder Strategy (1-5 Year) Managed Account	100.00%	0
Rockefeller Taxable Fixed Income Ladder (1-10 Year) Managed Account	99.58%	0
Rockefeller U.S. Large Cap Equity	0.00%	0
Rockefeller U.S. Small Cap Core Equity Managed Account	0.00%	< .1 CPS
Rockefeller U.S. Small Cap ESG Equity Managed Account	0.00%	0
Rockefeller U.S. Small Cap Tax Aware Equity Managed Account	0.21%	< .1 CPS
RSW Market Duration Muni Managed Account	100.00%	0
RSW Low Duration Muni Managed Account	100.00%	0
RSW Enhanced Intermediate Duration Muni Managed Account	100.00%	0
Russell Inv Balanced Model Strategy (Class S)	0.00%	0
Russell Inv Equity Growth Model Strategy (Class S)	0.00%	0
Russell Inv Tax-Managed Balanced Model Strategy (Class S)	0.00%	0
Russell Inv Tax-Managed Growth Model Strategy (Class S)	0.00%	0
Sage ESG Intermediate Term Fixed Income Managed Account	100.00%	0
Sage Impact Bond Managed Account	100.00%	0
Sage ESG Short Term Fixed Income Managed Account	100.00%	0
Sandhill Concentrated Equity Alpha (CEA) Managed Account	0.00%	0
Seizert Large Cap Value Managed Account	0.00%	0
Schafer Cullen Global High Dividend Value ADR Managed Account	0.79%	0
Schafer Cullen High Dividend Value Equity Managed Account	0.00%	0
Schafer Cullen International High Dividend ADR Managed Account	9.55%	0
Sound Shore Large Cap Value Managed Account	0.00%	0

SpiderRock Hedged Equity Concentrated Stock (HEC) Managed Account	0.00%	0
State Street Active Asset Allocation ETF - Growth Strategy	5.28%	0
State Street Active Asset Allocation ETF - Maximum Growth	24.60%	< .1 CPS
State Street Active Asset Allocation ETF - Moderate Conservative Strategy	34.05%	0
State Street Active Asset Allocation ETF - Moderate Growth Strategy	27.94%	< .1 CPS
State Street Active Asset Allocation ETF - Moderate Strategy	11.80%	0
Sterling Capital Focus Equity Managed Account	2.72%	0
Sterling Capital Short Gov/Credit Managed Account	100.00%	0
Sterling Capital Intermediate Gov/Credit Managed Account	100.00%	0
Sterling Capital Short Intermediate Municipal Managed Account	100.00%	0
Sterling Capital Equity Income Managed Account	0.00%	0
Sterling Capital Special Opportunities Managed Account	0.00%	0
Stonebridge Tax-Advantaged QDI Preferred Securities Managed Account	0.00%	0
T. Rowe Price US Dividend Growth Equity Managed Account	0.00%	0
TCW Concentrated Core Managed Account	0.00%	0
TCW Relative Value Mid Cap Managed Account	0.00%	0
The London Co. Small Cap Core Managed Account	0.00%	0
The London Company Income Equity Managed Account	0.00%	0
Thomas J. Herzfeld Fixed Income Managed Account	0.37%	0
Tortoise Midstream MLP SMA	75.00%	0
TS&W Mid Cap Value Managed Account	0.00%	0
Thornburg International ADR Managed Account	0.00%	0
Trillium Small Mid Cap Core Managed Account	0.00%	0
Trillium Sustainable Opportunities Managed Account	0.00%	0
Uniplan REIT Portfolio Managed Account	0.00%	0
Vanguard Active-Passive Aggressive Strategy	0.00%	0
Vanguard Active-Passive All Equity Strategy	0.00%	0
Vanguard Active-Passive Moderate Aggressive Strategy	0.14%	0
Vanguard Active-Passive Moderate Conservative Strategy	0.00%	0
Vanguard Active-Passive Moderate Strategy	0.12%	0
Vanguard Core 100% Equity Portfolio	0.00%	0
Vanguard Core 100% Fixed Income Portfolio	0.00%	0
Vanguard Core 60% Equity/ 40% Fixed Income Portfolio	0.00%	0
Vanguard Core 70% Equity / 30% Fixed Income Portfolio	0.00%	0
Vanguard Core 90% Equity / 10% Fixed Income Portfolio	0.00%	0

Vanguard CRSP 100% Equity Portfolio	0.00%	0
Vanguard CRSP 20% Equity/ 80% Fixed Income Portfolio	0.00%	0
Vanguard CRSP 30% Equity / 70% Fixed Income Portfolio	0.00%	0
Vanguard CRSP 40% Equity/ 60% Fixed Income Portfolio	0.00%	0
Vanguard CRSP 50% Equity / 50% Fixed Income Portfolio	0.01%	0
Vanguard CRSP 60% Equity/ 40% Fixed Income Portfolio	0.60%	0
Vanguard CRSP 70% Equity/ 30% Fixed Income Portfolio	0.00%	0
Vanguard CRSP 80% Equity/ 20% Fixed Income Portfolio	0.00%	0
Vanguard CRSP 90% Equity / 10% Fixed Income Portfolio	0.27%	0
Vanguard Russell 100% Equity Portfolio	0.00%	0
Vanguard Russell 50% Equity / 50% Fixed Income Portfolio	0.00%	0
Vanguard Russell 70% Equity / 30% Fixed Income Portfolio	0.00%	0
Vanguard Russell 80% Equity/ 20% Fixed Income Portfolio	0.00%	0
Vanguard S&P 40% Equity/ 60% Fixed Income Portfolio	0.00%	0
Vanguard S&P 60% Equity/ 40% Fixed Income Portfolio	0.00%	0
Vanguard S&P 70% Equity / 30% Fixed Income Portfolio	16.49%	< .1 CPS
Vanguard S&P 80% Equity/ 20% Fixed Income Portfolio	0.00%	0
Vanguard S&P 90% Equity / 10% Fixed Income Portfolio	4.15%	0
Virtus NFJ Dividend Value Managed Account	0.00%	0
Wakefield Large Cap Equity Managed Account	0.00%	0
WCA Rising Dividend Portfolio Managed Account	0.00%	0
WCA Victory Portfolio Managed Account	0.00%	0
WCM Focused Growth International Managed Account	46.55%	< .7 CPS
WCM Quality Global Growth Managed Account	7.20%	0
Wedgewood Large Cap Focused Growth Managed Account	0.00%	0
Westwood Salient MLP Managed Account	0.00%	0
WestEnd Advisors Global Balanced Strategy	1.00%	< .1 CPS
WestEnd Advisors Global Equity Strategy	2.46%	< .1 CPS
WestEnd Advisors Large Cap Core Equity Managed Account	0.00%	0
WestEnd Advisors Global Conservative Strategy	1.63%	< .1 CPS
WestEnd Advisors U.S. Sector Strategy	0.00%	< .1 CPS
Western Asset Corporate Bond Ladders (1-5 Years)	99.00%	0
Western Asset Core Managed Account	99.00%	0
Western Asset Corporate Bond Ladders (1-10 Years)	99.00%	0
Western Asset Taxable Core Plus Managed Account (NFS)	99.00%	0

Wilshire Active Income Managed Account	0.00%	0
Wilshire Global ETF Conservative Strategy	0.00%	0
WST - 60/Blend Managed Account	25.98%	1/5 bps
WST - 80/Blend Managed Account	39.87%	1/5 bps
WST Aggressive Growth	0	0
Winslow Capital Large Cap Growth Managed Account	0.00%	0
Zacks All-Cap Core Strategy Managed Account	0.00%	0
ZWJ Tax-Free Fixed Income	100.00%	0