

FORM ADV

UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Primary Business Name: EDELMAN FINANCIAL ENGINES	CRD Number: 104510
Annual Amendment - All Sections	Rev. 10 / 2021
3 / 31 / 2026 9:38:55 AM	

WARNING: Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4.

Item 1 Identifying Information

Responses to this Item tell us who you are, where you are doing business, and how we can contact you. If you are filing an *umbrella registration*, the information in Item 1 should be provided for the *filing adviser only*. General Instruction 5 provides information to assist you with filing an *umbrella registration*.

A.

Your full legal name (if you are a sole proprietor, your last, first, and middle names):
FINANCIAL ENGINES ADVISORS L.L.C.

B.

(1) Name under which you primarily conduct your advisory business, if different from Item 1.A.
EDELMAN FINANCIAL ENGINES

List on *Section 1.B. of Schedule D* any additional names under which you conduct your advisory business.

(2) If you are using this Form ADV to register more than one investment adviser under an *umbrella registration*, check this box ☐

If you check this box, complete a Schedule R for each relying adviser.

C.

If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.(1)), enter the new name and specify whether the name change is of ☐ your legal name or ☐ your primary business name:

D.

(1) If you are registered with the SEC as an investment adviser, your SEC file number: **801-55196**

(2) If you report to the SEC as an *exempt reporting adviser*, your SEC file number:

(3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:
No Information Filed

E.

(1) If you have a number ("CRD Number") assigned by the *FINRA's CRD* system or by the IARD system, your *CRD* number: **104510**

If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.

(2) If you have additional *CRD* Numbers, your additional *CRD* numbers:
No Information Filed

F.

Principal Office and Place of Business

(1) Address (do not use a P.O. Box):

Number and Street 1:
3945 FREEDOM CIRCLE
City:
SANTA CLARA

State:
California

Country:
United States

ZIP+4/Postal Code:
95054

If this address is a private residence, check this box: ☐

List on *Section 1.F. of Schedule D* any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.

(2) Days of week that you normally conduct business at your *principal office and place of business*:

☒ Monday - Friday ☐ Other:

Normal business hours at this location:
9:00 A.M. - 5:00 P.M.

(3) Telephone number at this location:
833-752-6333

(4) Facsimile number at this location, if any:
866-742-7222

(5) What is the total number of offices, other than your *principal office and place of business*, at which you conduct investment advisory business as of the end of your most recently completed fiscal year?
131

G. Mailing address, if different from your *principal office and place of business* address:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box:

☐

H. If you are a sole proprietor, state your full residence address, if different from your *principal office and place of business* address in Item 1.F.:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

I. Do you have one or more websites or accounts on publicly available social media platforms (including, but not limited to, Twitter, Facebook and LinkedIn)?

Yes

No

If "yes," list all firm website addresses and the address for each of the firm's accounts on publicly available social media platforms on *Section 1.I. of Schedule D*. If a website address serves as a portal through which to access other information you have published on the web, you may list the portal without listing addresses for all of the other information. You may need to list more than one portal address. Do not provide the addresses of websites or accounts on publicly available social media platforms where you do not control the content. Do not provide the individual electronic mail (e-mail) addresses of employees or the addresses of employee accounts on publicly available social media platforms.

J. Chief Compliance Officer

(1) Provide the name and contact information of your Chief Compliance Officer. If you are an *exempt reporting adviser*, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below.

Name:

Other titles, if any:

Telephone number:

Facsimile number, if any:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if Chief Compliance Officer has one:

(2) If your Chief Compliance Officer is compensated or employed by any *person* other than you, a *related person* or an investment company registered under the Investment Company Act of 1940 that you advise for providing chief compliance officer services to you, provide the *person's* name and IRS Employer Identification Number (if any):

Name:

IRS Employer Identification Number:

K. Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here.

Name:

Titles:

Telephone number:

Facsimile number, if any:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if contact person has one:

L. Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*?

Yes

No

If "yes," complete *Section 1.L. of Schedule D*.

M. Are you registered with a *foreign financial regulatory authority*?

Yes

No

Answer "no" if you are not registered with a *foreign financial regulatory authority*, even if you have an affiliate that is registered with a *foreign financial regulatory authority*. If "yes," complete *Section 1.M. of Schedule D*.

N. Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934?

Yes

No

O. Did you have \$1 billion or more in assets on the last day of your most recent fiscal year?

If yes, what is the approximate amount of your assets:

☐ \$1 billion to less than \$10 billion

☐ \$10 billion to less than \$50 billion

☐ \$50 billion or more

For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your *Legal Entity Identifier* if you have one:

A *legal entity identifier* is a unique number that companies use to identify each other in the financial marketplace. You may not have a *legal entity identifier*.

SECTION 1.B. Other Business Names

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name.

Name: EDELMAN FINANCIAL ENGINES

Jurisdictions

☒ AL	☒ IL	☒ NE	☒ SC
☒ AK	☒ IN	☒ NV	☒ SD
☒ AZ	☒ IA	☒ NH	☒ TN
☒ AR	☒ KS	☒ NJ	☒ TX
☒ CA	☒ KY	☒ NM	☒ UT
☒ CO	☒ LA	☒ NY	☒ VT
☒ CT	☒ ME	☒ NC	☒ VI
☒ DE	☒ MD	☒ ND	☒ VA
☒ DC	☒ MA	☒ OH	☒ WA
☒ FL	☒ MI	☒ OK	☒ WV
☒ GA	☒ MN	☒ OR	☒ WI
☐ GU	☒ MS	☒ PA	☒ WY
☒ HI	☒ MO	☒ PR	☐ Other:
☒ ID	☒ MT	☒ RI	

SECTION 1.F. Other Offices

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 200 WESTGATE PARKWAY		Number and Street 2: SUITE 202	
City: HENRICO	State: Virginia	Country: United States	ZIP+4/Postal Code: 23233

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile Number, if any: 866-742-7222
-----------------------------------	---

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
0

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 3100 SANDERS ROAD		Number and Street 2: SUITE 125	
City: NORTHBROOK	State: Illinois	Country: United States	ZIP+4/Postal Code: 60062

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile Number, if any: 866-742-7222
-----------------------------------	---

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 1111 WEST 6TH STREET		Number and Street 2: BUILDING B, SUITE 310	
City: AUSTIN	State: Texas	Country: United States	ZIP+4/Postal Code: 78703

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile Number, if any: 866-742-7222
-----------------------------------	---

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
28 STATE STREET		21ST FLOOR	
City:	State:	Country:	ZIP+4/Postal Code:
BOSTON	Massachusetts	United States	02109

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
833-752-6333	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
0

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☐ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
1800 DIAGONAL ROAD		SUITE 480	
City:	State:	Country:	ZIP+4/Postal Code:
ALEXANDRIA	Virginia	United States	22314

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
1 TOWER LANE			
City:	State:	Country:	ZIP+4/Postal Code:
OAKBROOK TERRACE	Illinois	United States	60181

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
1888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
6

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
2175 NORTH CALIFORNIA BLVD		SUITE 800	
City:	State:	Country:	ZIP+4/Postal Code:
WALNUT CREEK	California	United States	94596

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)

- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
7900 GLADES ROAD		SUITE 310	
City:	State:	Country:	ZIP+4/Postal Code:
BOCA RATON	Florida	United States	33430

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

4

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
1750 TYSONS BLVD		SUITE 1140	
City:	State:	Country:	ZIP+4/Postal Code:
TYSONS	Virginia	United States	22102

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

4

Are other business activities conducted at this office location? (check all that apply)

- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
1130 RXR PLAZA

City:
UNIONDALE

State:
New York

Country:
United States

Number and Street 2:
SUITE 1130

ZIP+4/Postal Code:
11556

If this address is a private residence, check this box: ☐

Telephone Number:
888-752-6742

Facsimile Number, if any:
866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

Are other business activities conducted at this office location? (check all that apply)

- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
39555 ORCHARD HILL PLACE

City:
NOVI

State:
Michigan

Country:
United States

Number and Street 2:
SUITE 365

ZIP+4/Postal Code:
48375

If this address is a private residence, check this box: ☐

Telephone Number:
888-752-6742

Facsimile Number, if any:
866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

Are other business activities conducted at this office location? (check all that apply)

- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 25 BURLINGTON MALL ROAD		Number and Street 2: SUITE 405	
City: BURLINGTON	State: Massachusetts	Country: United States	ZIP+4/Postal Code: 01803

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile Number, if any: 866-742-7222
-----------------------------------	---

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
6

Are other business activities conducted at this office location? (check all that apply)

- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 4742 N. 24TH STREET		Number and Street 2: SUITE 270	
City: PHOENIX	State: Arizona	Country: United States	ZIP+4/Postal Code: 85016

If this address is a private residence, check this box: ☐

Telephone Number: 602-522-4100	Facsimile Number, if any: 866-742-7222
-----------------------------------	---

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
27

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:	Number and Street 2:		
8800 LYRA DRIVE	SUITE 220		
City:	State:	Country:	ZIP+4/Postal Code:
COLUMBUS	Ohio	United States	43240

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:	Number and Street 2:		
720 UNIVERSITY AVE	SUITE 230		
City:	State:	Country:	ZIP+4/Postal Code:
NORWOOD	Massachusetts	United States	02062

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
888-752-6742	866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
6

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 201 WEST BIG BEAVER ROAD		Number and Street 2: SUITE 950	
City: TROY	State: Michigan	Country: United States	ZIP+4/Postal Code: 48084

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile Number, if any: 866-742-7222
-----------------------------------	---

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
5

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 10950 GRANDVIEW DRIVE		Number and Street 2: SUITE 500	
City: OVERLAND PARK	State: Kansas	Country: United States	ZIP+4/Postal Code: 66210

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile Number, if any:
866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
0

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
4000 LEGATO ROAD

City:
FAIRFAX

State:
Virginia

Number and Street 2:
8TH FLOOR

Country:
United States

ZIP+4/Postal Code:
22033

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile Number, if any:
866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
27

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
600 ANTON BLVD

City:
COSTA MESA

State:
California

Number and Street 2:
SUITE 1750

Country:
United States

ZIP+4/Postal Code:
92626

If this address is a private residence, check this box: ☐

Telephone Number:

888-752-6742

Facsimile Number, if any:

866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

5

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:

100 FRONT STREET

Number and Street 2:

SUITE 1210

City:

WEST CONSHOHOCKEN

State:

Pennsylvania

Country:

United States

ZIP+4/Postal Code:

19428

If this address is a private residence, check this box: ☐

Telephone Number:

833-752-6333

Facsimile Number, if any:

866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

6

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:

20700 44TH AVE WEST

Number and Street 2:

SUITE 500

City:

State:

Country:

ZIP+4/Postal Code:

LYNNWOOD

Washington

United States

98036

If this address is a private residence, check this box: ☐

Telephone Number:

833-752-6333

Facsimile Number, if any:

866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

10

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:

2901 DOUGLAS BLVD

City:

ROSEVILLE

State:

California

Number and Street 2:

SUITE 250

Country:

United States

ZIP+4/Postal Code:

95661

If this address is a private residence, check this box: ☐

Telephone Number:

833-752-6333

Facsimile Number, if any:

866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

7

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:

Number and Street 2:

3100 WEST RAY ROAD

City:
CHANDLER

State:
Arizona

Country:
United States

SUITE 334

ZIP+4/Postal Code:
85226

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile Number, if any:
866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
6

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
32001 32ND AVENUE SOUTH

City:
FEDERAL WAY

State:
Washington

Country:
United States

Number and Street 2:
SUITE 330

ZIP+4/Postal Code:
98001

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile Number, if any:
866-742-7222

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
7

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 6031 UNIVERSITY BOULEVARD		Number and Street 2: SUITE 150	
City: ELLCOTT CITY	State: Maryland	Country: United States	ZIP+4/Postal Code: 21043
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile Number, if any: 866-742-7222	
If this office location is also required to be registered with FINRA or a <i>state securities authority</i> as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the <i>CRD</i> Branch Number here:			
How many <i>employees</i> perform investment advisory functions from this office location? 5			
Are other business activities conducted at this office location? (check all that apply)			
☐ (1) Broker-dealer (registered or unregistered)			
☐ (2) Bank (including a separately identifiable department or division of a bank)			
☒ (3) Insurance broker or agent			
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
☐ (5) Registered municipal advisor			
☐ (6) Accountant or accounting firm			
☐ (7) Lawyer or law firm			
Describe any other <i>investment-related</i> business activities conducted from this office location:			

SECTION 1.I. Website Addresses

List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.I. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform:	https://www.indeed.com/cmp/Edelman-Financial-Engines
Address of Website/Account on Publicly Available Social Media Platform:	https://coffeehouseinvestor.com/
Address of Website/Account on Publicly Available Social Media Platform:	https://www.youtube.com/c/EdelmanFinancialEngines
Address of Website/Account on Publicly Available Social Media Platform:	https://www.glassdoor.com/Overview/Working-at-Edelman-Financial-Engines-EI_IE7852.11,36.htm
Address of Website/Account on Publicly Available Social Media Platform:	https://financialengines.com
Address of Website/Account on Publicly Available Social Media Platform:	https://www.linkedin.com/company/edelman-financial-engines
Address of Website/Account on Publicly Available Social Media Platform:	https://www.facebook.com/edelmanfinancialengines
Address of Website/Account on Publicly Available Social Media Platform:	https://twitter.com/EdelmanFE
Address of Website/Account on Publicly Available Social Media Platform:	https://www.instagram.com/edelmanfinancialengines/

Address of Website/Account on Publicly Available Social Media Platform:	https://www.newenglandpension.com/
Address of Website/Account on Publicly Available Social Media Platform:	http://www.edelmanfinancialengines.com
Address of Website/Account on Publicly Available Social Media Platform:	https://www.threads.net/@edelmanfinancialengines
Address of Website/Account on Publicly Available Social Media Platform:	https://bsky.app/profile/edelmanfinancialengines.com
Address of Website/Account on Publicly Available Social Media Platform:	https://www.linkedin.com/in/michael-liersch-1882382/

SECTION 1.L. Location of Books and Records

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D, Section 1.L. for each location.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
4201 WESTOWN PARKWAY

City:
WEST DES MOINES

State:
Iowa

Country:
United States

Number and Street 2:
SUITE 114

ZIP+4/Postal Code:
50266

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
4700 FALLS OF NEUSE RD

City:
RALEIGH

State:
North Carolina

Country:
United States

Number and Street 2:
SUITE 275

ZIP+4/Postal Code:
27609

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 600 ANTON BOULEVARD		Number and Street 2: SUITE 1750	
City: COSTA MESA	State: California	Country: United States	ZIP+4/Postal Code: 92626

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 10950 GRANDVIEW ST		Number and Street 2: SUITE 500	
City: OVERLAND PARK	State: Kansas	Country: United States	ZIP+4/Postal Code: 66210

If this address is a private residence, check this box: ☐

Telephone Number: (913) 319-8100	Facsimile number, if any: (913) 310-8181
-------------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
CERTAIN MARKETING COMMUNICATIONS, CERTAIN AGREEMENTS RELATED TO THE ADVISORY BUSINESS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 2400 E. KATELLA AVE.		Number and Street 2: SUITE 910	
City: ANAHEIM	State: California	Country: United States	ZIP+4/Postal Code: 92806

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.

- ☒ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 21550 OXNARD STREET		Number and Street 2: SUITE 810	
City: WOODLAND HILLS	State: California	Country: United States	ZIP+4/Postal Code: 91367

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 777 NORTH ELDRIDGE PARKWAY		Number and Street 2: SUITE 420	
City: HOUSTON	State: Texas	Country: United States	ZIP+4/Postal Code: 77079

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 225 SOUTH LAKE AVENUE		Number and Street 2: SUITE 1185	
City: PASADENA	State: California	Country: United States	ZIP+4/Postal Code: 91101

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
1 PINE HILL DRIVE

City:
QUINCY

State:
Massachusetts

Country:
United States

Number and Street 2:
SUITE 502

ZIP+4/Postal Code:
02169

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
10900 WAYZATA BOULEVARD

City:
MINNETONKA

State:
Minnesota

Country:
United States

Number and Street 2:
SUITE 240

ZIP+4/Postal Code:
55305

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
8610 EXPLORER DRIVE

City:

State:

Country:

Number and Street 2:
SUITE 120

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
1960 SATELLITE BOULEVARD

City:
DULUTH

State:
Georgia

Country:
United States

Number and Street 2:
SUITE 3500

ZIP+4/Postal Code:
30097

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C

Number and Street 1:
328 NEWMAN SPRINGS ROAD

City:
RED BANK

State:
New Jersey

Country:
United States

Number and Street 2:
SUITE #1

ZIP+4/Postal Code:
07701

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 201 WEST BIG BEAVER ROAD		Number and Street 2: SUITE 950	
City: TROY	State: Michigan	Country: United States	ZIP+4/Postal Code: 48084
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept: FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1: 6565 AMERICAS PARKWAY NE		Number and Street 2: SUITE 850	
City: ALBUQUERQUE	State: New Mexico	Country: United States	ZIP+4/Postal Code: 87110
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept: FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1: 4742 N. 24TH STREET		Number and Street 2: SUITE 400	
City: PHOENIX	State: Arizona	Country: United States	ZIP+4/Postal Code: 85016
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. CERTAIN CORRESPONDENCE AND CLIENT COMMUNICATIONS RECORDS.			

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 203 SE PARK PLAZA DRIVE		Number and Street 2: SUITE 115	
City: VANCOUVER	State: Washington	Country: United States	ZIP+4/Postal Code: 98684

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 13860 BALLANTYNE CORPORATE PLACE		Number and Street 2: SUITE 160	
City: CHARLOTTE	State: North Carolina	Country: United States	ZIP+4/Postal Code: 28277

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 3460 PRESTON RIDGE RD		Number and Street 2: SUITE 500	
City: ALPHARETTA	State: Georgia	Country: United States	ZIP+4/Postal Code: 30005

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 200 GALLERIA DR SE		Number and Street 2: SUITE 1805	
City: ATLANTA	State: Georgia	Country: United States	ZIP+4/Postal Code: 30339

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 8201 VILLAGE PLAZA COURT		Number and Street 2: SUITE 2A	
City: BATON ROUGE	State: Louisiana	Country: United States	ZIP+4/Postal Code: 70810

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 100 FRONT STREET		Number and Street 2: SUITE 1210	
City: WEST CONSHOHOCKEN	State: Pennsylvania	Country: United States	ZIP+4/Postal Code: 19428

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 1975 WALTON RD,		Number and Street 2:	
City: OVERLAND	State: Missouri	Country: United States	ZIP+4/Postal Code: 63114

If this address is a private residence, check this box: ☐

Telephone Number: 314-447-0044	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 2501 WEST BELTLINE HIGHWAY		Number and Street 2: SUITE 103	
City: MADISON	State: Wisconsin	Country: United States	ZIP+4/Postal Code: 53713

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 16052 SWINGLEY RIDGE ROAD		Number and Street 2: SUITE 350	
City: CHESTERFIELD	State: Missouri	Country: United States	ZIP+4/Postal Code: 63017

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
833-752-6333	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:	Number and Street 2:		
45 RIVER PARK PLACE WEST	SUITE 103		
City:	State:	Country:	ZIP+4/Postal Code:
FRESNO	California	United States	93720

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
833-752-6333	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:	Number and Street 2:		
2795 EAST COTTONWOOD PARKWAY	SUITE 670		
City:	State:	Country:	ZIP+4/Postal Code:
SALT LAKE CITY	Utah	United States	84121

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
888-752-6742	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:

1605 CARMODY COURT

City:

SEWICKLEY

State:

Pennsylvania

Country:

United States

ZIP+4/Postal Code:

15143

Number and Street 2:

SUITE 100

If this address is a private residence, check this box:

☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Number and Street 1:

12965 LORING RD.

City:

BONNER SPRINGS

State:

Kansas

Country:

United States

ZIP+4/Postal Code:

66012

Number and Street 2:

If this address is a private residence, check this box:

☐

Telephone Number:

913-441-4200

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Number and Street 1:

44664 GUILFORD DRIVE

City:

ASHBURN

State:

Virginia

Country:

United States

ZIP+4/Postal Code:

20147

Number and Street 2:

If this address is a private residence, check this box:

☐

Telephone Number:

703-840-7720

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☒ other.

Briefly describe the books and records kept at this location.

PRIMARY THIRD PARTY COLOCATION FACILITY WHERE OUR IT DEPARTMENT HOUSES ITS SERVERS

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 340 MADISON AVENUE		Number and Street 2: 22ND FLOOR	
City: NEW YORK	State: New York	Country: United States	ZIP+4/Postal Code: 10173

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 945 WINDHAM		Number and Street 2: SUITE 2	
City: BOARDMAN	State: Ohio	Country: United States	ZIP+4/Postal Code: 44512

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☒ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 539 BIELENBERG DR		Number and Street 2: SUITE 220	
City: WOODBURY	State: Minnesota	Country: United States	ZIP+4/Postal Code: 55125

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
DATAPROS

Number and Street 1: 23042 N. 15TH LANE		Number and Street 2:	
City: PHOENIX	State: Arizona	Country: United States	ZIP+4/Postal Code: 85027

If this address is a private residence, check this box: ☐

Telephone Number: 623-434-0748 F	Facsimile number, if any: 623-434-0754
-------------------------------------	---

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
STORAGE CENTER FOR CERTAIN CLIENT COMMUNICATION RECORDS.

Name of entity where books and records are kept:
SALESFORCE

Number and Street 1: 1 MARKET STREET, SUITE 300		Number and Street 2:	
City: SANFRANCISCO	State: California	Country: United States	ZIP+4/Postal Code: 94105

If this address is a private residence, check this box: ☐

Telephone Number: 415-901-7000	Facsimile number, if any:
-----------------------------------	---------------------------

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
CLIENT RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 18881 WEST DODGE ROAD		Number and Street 2: SUITE 240W	
City: OMAHA	State: Nebraska	Country: United States	ZIP+4/Postal Code: 68022

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1700 S. PAVILION CENTER DRIVE		Number and Street 2: SUITE 350	
City: LAS VEGAS	State: Nevada	Country: United States	ZIP+4/Postal Code: 89135

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 13921 QUAIL POINTE DRIVE		Number and Street 2:	
City: OKLAHOMA CITY	State: Oklahoma	Country: United States	ZIP+4/Postal Code: 73134

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 3801 W GREEN TREE RD		Number and Street 2:	
City: MILWAUKEE	State: Wisconsin	Country: United States	ZIP+4/Postal Code: 53209

If this address is a private residence, check this box: ☐

Telephone Number:
414-228-9916

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
9303 GULFSTREAM ROAD

City:
FRANKFORT

State:
Illinois

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
60423

If this address is a private residence, check this box:

☐

Telephone Number:
815-464-6363

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
370 DIABLO ROAD

City:
DANVILLE

State:
California

Country:
United States

Number and Street 2:
SUITE 201

ZIP+4/Postal Code:
94526

If this address is a private residence, check this box:

☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
3595 GRANDVIEW PARKWAY

Number and Street 2:
SUITE 475

City:	State:	Country:	ZIP+4/Postal Code:
BIRMINGHAM	Alabama	United States	35243
If this address is a private residence, check this box: ☐			
Telephone Number:	Facsimile number, if any:		
833-752-6333	866-742-7222		
This is (check one):			
☒ one of your branch offices or affiliates.			
☐ a third-party unaffiliated recordkeeper.			
☐ other.			
Briefly describe the books and records kept at this location.			
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept:			
VITAL RECORDS CONTROL			
Number and Street 1:		Number and Street 2:	
250 PASSAIC ST			
City:	State:	Country:	ZIP+4/Postal Code:
NEWARK	New Jersey	United States	07104
If this address is a private residence, check this box: ☐			
Telephone Number:	Facsimile number, if any:		
973-368-6600			
This is (check one):			
☐ one of your branch offices or affiliates.			
☒ a third-party unaffiliated recordkeeper.			
☐ other.			
Briefly describe the books and records kept at this location.			
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.			

Name of entity where books and records are kept:			
FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1:		Number and Street 2:	
10950 GRANDVIEW ST		SUITE 600	
City:	State:	Country:	ZIP+4/Postal Code:
OVERLAND PARK	Kansas	United States	66210
If this address is a private residence, check this box: ☐			
Telephone Number:	Facsimile number, if any:		
833-752-6333			
This is (check one):			
☒ one of your branch offices or affiliates.			
☐ a third-party unaffiliated recordkeeper.			
☐ other.			
Briefly describe the books and records kept at this location.			
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 4050 CRUMS MILL ROAD		Number and Street 2: SUITE 204	
City: HARRISBURG	State: Pennsylvania	Country: United States	ZIP+4/Postal Code: 17112

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 317 IRON HORSE WAY		Number and Street 2: SUITE 201	
City: PROVIDENCE	State: Rhode Island	Country: United States	ZIP+4/Postal Code: 02908

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1900 SUMMIT TOWER BOULEVARD		Number and Street 2: SUITE 230	
City: ORLANDO	State: Florida	Country: United States	ZIP+4/Postal Code: 32810

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1111 NORTH NORTHSORE DRIVE		Number and Street 2: SUITE S-200	
City: KNOXVILLE	State: Tennessee	Country: United States	ZIP+4/Postal Code: 37919

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 3570 CAMEL MOUNTAIN ROAD		Number and Street 2: SUITE 450	
City: SAN DIEGO	State: California	Country: United States	ZIP+4/Postal Code: 92130

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 4221 WEST BOY SCOUT BLVD		Number and Street 2: SUITE 190	
City: TAMPA	State: Florida	Country: United States	ZIP+4/Postal Code: 33607

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.

- ☒ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 16 EXECUTIVE DRIVE		Number and Street 2: SUITE 250	
City: FAIRVIEW HEIGHTS	State: Illinois	Country: United States	ZIP+4/Postal Code: 62208

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 9203 MO-152		Number and Street 2:	
City: KANSAS CITY	State: Missouri	Country: United States	ZIP+4/Postal Code: 64158

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 28 STATE STREET		Number and Street 2: 21ST FLOOR	
City: BOSTON	State: Massachusetts	Country: United States	ZIP+4/Postal Code: 02109

If this address is a private residence, check this box: ☐

Telephone Number:
617-556-2300

Facsimile number, if any:
617-556-2333

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
CERTAIN MARKETING COMMUNICATIONS, CERTAIN AGREEMENTS RELATED TO THE ADVISORY BUSINESS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
8621 E. 21ST STREET NORTH

City:
WICHITA

State:
Kansas

Country:
United States

Number and Street 2:
SUITE 225

ZIP+4/Postal Code:
67206

If this address is a private residence, check this box: ☐

Telephone Number:
316-260-5200

Facsimile number, if any:
316-260-8959

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
712 MAIN STREET

City:
WOODLAND

State:
California

Country:
United States

Number and Street 2:
SUITE 202

ZIP+4/Postal Code:
95695

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
3020 OLD RANCH PARKWAY

City:

State:

Country:

Number and Street 2:
SUITE 100

ZIP+4/Postal Code:

SEAL BEACH		California		United States		90740	
If this address is a private residence, check this box: ☐							
Telephone Number:		Facsimile number, if any:					
833-752-6333							
This is (check one):							
☒ one of your branch offices or affiliates.							
☐ a third-party unaffiliated recordkeeper.							
☐ other.							
Briefly describe the books and records kept at this location.							
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.							
Name of entity where books and records are kept:							
FINANCIAL ENGINES ADVISORS L.L.C.							
Number and Street 1:				Number and Street 2:			
51 JFK PARKWAY				SUITE 270			
City:		State:		Country:		ZIP+4/Postal Code:	
SHORT HILLS		New Jersey		United States		07078	
If this address is a private residence, check this box: ☐							
Telephone Number:		Facsimile number, if any:					
833-752-6333		866-742-7222					
This is (check one):							
☒ one of your branch offices or affiliates.							
☐ a third-party unaffiliated recordkeeper.							
☐ other.							
Briefly describe the books and records kept at this location.							
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.							
Name of entity where books and records are kept:							
FINANCIAL ENGINES ADVISORS L.L.C.							
Number and Street 1:				Number and Street 2:			
1130 RXR PLAZA				SUITE 1130			
City:		State:		Country:		ZIP+4/Postal Code:	
UNIONDALE		New York		United States		11556	
If this address is a private residence, check this box: ☐							
Telephone Number:		Facsimile number, if any:					
833-752-6333		866-742-7222					
This is (check one):							
☒ one of your branch offices or affiliates.							
☐ a third-party unaffiliated recordkeeper.							
☐ other.							
Briefly describe the books and records kept at this location.							
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.							
Name of entity where books and records are kept:							
FINANCIAL ENGINES ADVISORS L.L.C.							

Number and Street 1: 125 5TH STREET SOUTH		Number and Street 2: SUITE 201	
City: ST. PETERSBURG	State: Florida	Country: United States	ZIP+4/Postal Code: 33701
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept: FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1: 32001 32ND AVENUE SOUTH		Number and Street 2: SUITE 330	
City: FEDERAL WAY	State: Washington	Country: United States	ZIP+4/Postal Code: 98001
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept: FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1: 28 CORPORATE DRIVE		Number and Street 2: SUITE 101	
City: CLIFTON PARK	State: New York	Country: United States	ZIP+4/Postal Code: 12065
If this address is a private residence, check this box: ☐			
Telephone Number: 833		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
3900 N. CAUSEWAY BLVD.

City:
METAIRIE

State:
Louisiana

Number and Street 2:
SUITE 1450

Country:
United States

ZIP+4/Postal Code:
70002

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES L.L.C.

Number and Street 1:
382 NORTH MAIN STREET

City:
EAST LONGMEADOW

State:
Massachusetts

Number and Street 2:
SUITE 201

Country:
United States

ZIP+4/Postal Code:
01028

If this address is a private residence, check this box: ☐

Telephone Number:
888-752-6742

Facsimile number, if any:
866-742-7222

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN

Name of entity where books and records are kept:
MICRO FOCUS

Number and Street 1:
4555 GREAT AMERICA PARKWAY,

City:
SANTA CLARA

State:
California

Number and Street 2:
STE. 400

Country:
United States

ZIP+4/Postal Code:
95054

If this address is a private residence, check this box: ☐

Telephone Number:
650-258-6827

Facsimile number, if any:

This is (check one):

- ☐ one of your branch offices or affiliates.
- ☒ a third-party unaffiliated recordkeeper.

☒ other.

Briefly describe the books and records kept at this location.
RECORDS PERTAINING TO ADVERTISING.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 74 BATTERSON PARK ROAD		Number and Street 2: 2ND FLOOR	
City: FARMINGTON	State: Connecticut	Country: United States	ZIP+4/Postal Code: 06032

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
CFM PARTNERS, INC.

Number and Street 1: 1701 RHODE ISLAND AVENUE, NW		Number and Street 2:	
City: WASHINGTON	State: District of Columbia	Country: United States	ZIP+4/Postal Code: 20036

If this address is a private residence, check this box: ☐

Telephone Number: 202-364-7741	Facsimile number, if any:
-----------------------------------	---------------------------

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES

Name of entity where books and records are kept:
KC UNDERGROUND VAULTS AND STORAGE

Number and Street 1: 8600 NE UNDERGROUND DRIVE		Number and Street 2: PILLAR 146	
City: KANSAS CITY	State: Missouri	Country: United States	ZIP+4/Postal Code: 64161

If this address is a private residence, check this box: ☐

Telephone Number: 816-455-2640	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN FINANCE AND COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
RAGINGWIRE

Number and Street 1: 1625 W. NATIONAL DRIVE		Number and Street 2:	
City: SACRAMENTO	State: California	Country: United States	ZIP+4/Postal Code: 95834

If this address is a private residence, check this box: ☐

Telephone Number: 916-286-3000	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☒ other.

Briefly describe the books and records kept at this location.
SECONDARY THIRD PARTY COLOCATION FACILITY WHERE OUR IT DEPARTMENT BACKS UP ITS SERVERS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1485 SOUTH COUNTY TRAIL		Number and Street 2: SUITE 101	
City: EAST GREENWICH	State: Rhode Island	Country: United States	ZIP+4/Postal Code: 02818

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 10100 INNOVATION DRIVE		Number and Street 2: SUITE 160	
City: DAYTON	State: Ohio	Country: United States	ZIP+4/Postal Code: 45342

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
3945 FREEDOM CIRCLE

City:
SANTA CLARA

State:
California

Country:
United States

Number and Street 2:
SUITE 450

ZIP+4/Postal Code:
95054

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
10900 NE 8TH STREET

City:
BELLEVUE

State:
Washington

Country:
United States

Number and Street 2:
SUITE 1450

ZIP+4/Postal Code:
98004

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
7900 GLADES ROAD

City:
BOCA RATON

State:
Florida

Number and Street 2:
SUITE 310

Country:
United States

ZIP+4/Postal Code:
33434

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Number and Street 1:
1200 SOUTH PINE ISLAND ROAD

City:
PLANTATION

State:
Florida

Number and Street 2:
SUITE 400

Country:
United States

ZIP+4/Postal Code:
33324

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Number and Street 1:
277 BENDIX RD

City:
VIRGINIA BEACH

State:
Virginia

Number and Street 2:
SUITE 150

Country:
United States

ZIP+4/Postal Code:
23452

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 457 HADDONFIELD ROAD		Number and Street 2: SUITE 310	
City: CHERRY HILL	State: New Jersey	Country: United States	ZIP+4/Postal Code: 08002

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1960 E GRAND AVE		Number and Street 2: SUITE 710	
City: EL SEGUNDO	State: California	Country: United States	ZIP+4/Postal Code: 90245

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 19775 BELMONT EXECUTIVE PLAZA		Number and Street 2: SUITE 530	
City: ASHBURN	State: Virginia	Country: United States	ZIP+4/Postal Code: 20147

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 900 SOUTH AVENUE		Number and Street 2: SUITE 203	
City: STATEN ISLAND	State: New York	Country: United States	ZIP+4/Postal Code: 10314

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 3100 WEST RAY ROAD		Number and Street 2: SUITE 334	
City: SCOTTSDALE	State: Arizona	Country: United States	ZIP+4/Postal Code: 85226

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
REGED

Number and Street 1: 2100 GATEWAY CENTRE BLVD.		Number and Street 2: SUITE 200	
City: MORRISVILLE	State: North Carolina	Country: United States	ZIP+4/Postal Code: 27560

If this address is a private residence, check this box: ☐

Telephone Number: 800-334-8322	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
RECORDS RELATED TO CODE OF ETHICS

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:		Number and Street 2:	
1 TOWER LANE		SUITE 1950	
City:	State:	Country:	ZIP+4/Postal Code:
OAK BROOK	Illinois	United States	60181

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
833-752-6333	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:		Number and Street 2:	
11400 98TH AVENUE NE		SUITE 301	
City:	State:	Country:	ZIP+4/Postal Code:
KIRKLAND	Washington	United States	98033

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
833-752-6333	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:		Number and Street 2:	
12510 PROSPERITY DRIVE		SUITE 350	
City:	State:	Country:	ZIP+4/Postal Code:
SILVER SPRING	Maryland	United States	20904

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
RED OAK COMPLIANCE SOFTWARE

Number and Street 1:
1320 ARROW POINT DRIVE

City:
CEDAR PARK

State:
Texas

Country:
United States

Number and Street 2:
SUITE 411

ZIP+4/Postal Code:
78613

If this address is a private residence, check this box:

☐

Telephone Number:
512-721-0421

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

RECORDS PERTAINING TO ADVERTISING

Name of entity where books and records are kept:
GLOBAL RELAY

Number and Street 1:
286 MADISON AVENUE

City:
NEW YORK

State:
New York

Country:
United States

Number and Street 2:
7TH FLOOR

ZIP+4/Postal Code:
10017

If this address is a private residence, check this box:

☐

Telephone Number:
866-484-6630

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

ARCHIVAL OF ELECTRONIC COMMUNICATIONS

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
25 BURLINGTON MALL ROAD

Number and Street 2:
SUITE 405

City:

BURLINGTON

State:

Massachusetts

Country:

United States

ZIP+4/Postal Code:

01803

If this address is a private residence, check this box: ☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:

9960 CORPORATE CAMPUS DRIVE

City:

LOUISVILLE

State:

Kentucky

Number and Street 2:

SUITE 1200

Country:

United States

ZIP+4/Postal Code:

40223

If this address is a private residence, check this box: ☐

Telephone Number:

(502) 425-2512

Facsimile number, if any:

(502) 425-2572

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:

720 UNIVERSITY AVENUE

City:

NORWOOD

State:

Massachusetts

Number and Street 2:

SUITE 230

Country:

United States

ZIP+4/Postal Code:

02062

If this address is a private residence, check this box: ☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
14811 FARM CREEK RD

City:
WOODBIDGE

State:
Virginia

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
22191

If this address is a private residence, check this box: ☐

Telephone Number:
703-551-4944

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
1600 RHOADMILLER STREET

City:
RICHMOND

State:
Virginia

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
23220

If this address is a private residence, check this box: ☐

Telephone Number:
804-358-8077

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
1964 RUFFIN MILL ROAD

City:
COLONIAL HEIGHTS

State:
Virginia

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
23834

If this address is a private residence, check this box: ☐

Telephone Number:
804-518-0580

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 324 PARK KNOLL DRIVE		Number and Street 2:	
City: MORRISVILLE	State: North Carolina	Country: United States	ZIP+4/Postal Code: 27560

If this address is a private residence, check this box: ☐

Telephone Number: 919-941-9101	Facsimile number, if any:
-----------------------------------	---------------------------

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 1925 LAUREL STREET		Number and Street 2:	
City: COLUMBIA	State: South Carolina	Country: United States	ZIP+4/Postal Code: 29201

If this address is a private residence, check this box: ☐

Telephone Number: 803-567-4000	Facsimile number, if any:
-----------------------------------	---------------------------

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 900 BESTGATE ROAD		Number and Street 2: SUITE 407	
City: ANNAPOLIS	State: Maryland	Country: United States	ZIP+4/Postal Code: 21401

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

- ☒ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:

FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:		Number and Street 2:	
5015 CAMPUSWOOD DRIVE		SUITE 201	
City:	State:	Country:	ZIP+4/Postal Code:
EAST SYRACUSE	New York	United States	13057

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
833-752-6333	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:

FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:		Number and Street 2:	
200 WESTGATE PARKWAY		SUITE 202	
City:	State:	Country:	ZIP+4/Postal Code:
HENRICO	Virginia	United States	23233

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile number, if any:
888-752-6742	866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:

FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:		Number and Street 2:	
4865 NORTH WICKHAM ROAD		SUITE 108	
City:	State:	Country:	ZIP+4/Postal Code:
MELBOURNE	Florida	United States	32940

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
3201 ENTERPRISE PARKWAY

City:
BEACHWOOD

State:
Ohio

Country:
United States

Number and Street 2:
SUITE 450

ZIP+4/Postal Code:
44122

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
2175 NORTH CALIFORNIA BOULEVARD

City:
WALNUT CREEK

State:
California

Country:
United States

Number and Street 2:
SUITE 800

ZIP+4/Postal Code:
94596

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
4 SANCTUARY BOULEVARD

City:

State:

Country:

Number and Street 2:
SUITE 200

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:833-752-6333

Facsimile number, if any:866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
901 DULANEY VALLEY ROAD

City:
TOWSON

State:
Maryland

Country:
United States

Number and Street 2:
SUITE 901

ZIP+4/Postal Code:
21204

If this address is a private residence, check this box: ☐

Telephone Number:833-752-6333

Facsimile number, if any:866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
900 ATLANTIC AVE

City:
NEW ORLEANS

State:
Louisiana

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
70114

If this address is a private residence, check this box: ☐

Telephone Number:504-363-4110

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
209 S BUD STREET

City:
SCOTT

State:
Louisiana

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
70583

If this address is a private residence, check this box: ☐

Telephone Number:
337-981-1151

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
1720 EAST HIGHWAY 264

City:
SPRINGDALE

State:
Arkansas

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
72764

If this address is a private residence, check this box: ☐

Telephone Number:
479-751-8120

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
411 W. RAILROAD AVE

City:
KENNEWICK

State:
Washington

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
99336

If this address is a private residence, check this box: ☐

Telephone Number:
509-586-6090

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
202 MONTROSE WEST AVENUE

City:
AKRON

State:
Ohio

Number and Street 2:
SUITE 350

Country:
United States

ZIP+4/Postal Code:
44321

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
100 HARTSFIELD CENTRE PARKWAY

City:
ATLANTA

State:
Georgia

Number and Street 2:
SUITE 650

Country:
United States

ZIP+4/Postal Code:
30354

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
205 ANGE ST.

City:
EL PASO

State:
Texas

Number and Street 2:

Country:
United States

ZIP+4/Postal Code:
79901

If this address is a private residence, check this box: ☐

Telephone Number:
915-534-3959

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 4802 WEST POLK STREET		Number and Street 2:	
City: PHOENIX	State: Arizona	Country: United States	ZIP+4/Postal Code: 85043

If this address is a private residence, check this box: ☐

Telephone Number: 623-979-3447	Facsimile number, if any:
-----------------------------------	---------------------------

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 8889 PELICAN BAY BLVD		Number and Street 2: SUITE 401	
City: NAPLES	State: Florida	Country: United States	ZIP+4/Postal Code: 34108

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 18927 HICKORY CREEK DRIVE		Number and Street 2: SUITE 310	
City: MOKENA	State: Illinois	Country: United States	ZIP+4/Postal Code: 60448

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 1150 SOUTH TAYLOR AVENUE		Number and Street 2:	
City: MONTEBELLO	State: California	Country: United States	ZIP+4/Postal Code: 90640

If this address is a private residence, check this box: ☐

Telephone Number: 800-541-2480	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 2237 PALOU AVENUE		Number and Street 2:	
City: SAN FRANCISCO	State: California	Country: United States	ZIP+4/Postal Code: 94124

If this address is a private residence, check this box: ☐

Telephone Number: 800-275-7233	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 8151 FRUITRIDGE RD		Number and Street 2:	
City: SACRAMENTO	State: California	Country: United States	ZIP+4/Postal Code: 95826

If this address is a private residence, check this box: ☐

Telephone Number:
916-379-9470

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
6550 ROCK SPRING DRIVE

City:
BETHESDA

State:
Maryland

Country:
United States

Number and Street 2:
SUITE 510

ZIP+4/Postal Code:
20817

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
1750 TYSONS BOULEVARD

City:
TYSONS CORNER

State:
Virginia

Country:
United States

Number and Street 2:
SUITE 1140

ZIP+4/Postal Code:
22102

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:

19026 RIDGEWOOD PKWY

City:

SAN ANTONIO

State:

Texas

Country:

United States

Number and Street 2:

SUITE 313

ZIP+4/Postal Code:

78259

If this address is a private residence, check this box:

☐

Telephone Number:

888-752-6742

Facsimile number, if any:

866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Number and Street 1:

8800 LYRA DRIVE

City:

COLUMBUS

State:

Ohio

Country:

United States

Number and Street 2:

SUITE 220

ZIP+4/Postal Code:

43240

If this address is a private residence, check this box:

☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Number and Street 1:

10 BANK STREET

City:

WHITE PLAINS

State:

New York

Country:

United States

Number and Street 2:

SUITE 1215

ZIP+4/Postal Code:

10606

If this address is a private residence, check this box:

☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 9635 MAROON CIRCLE		Number and Street 2: SUITE 405	
City: ENGLEWOOD	State: Colorado	Country: United States	ZIP+4/Postal Code: 80112

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 363 WANDO PLACE DRIVE		Number and Street 2: SUITE 100	
City: MOUNT PLEASANT	State: South Carolina	Country: United States	ZIP+4/Postal Code: 29464

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 12250 WEBER HILL RD		Number and Street 2: SUITE 215	
City: ST. LOUIS	State: Missouri	Country: United States	ZIP+4/Postal Code: 63127

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 39555 ORCHARD HILL PLACE		Number and Street 2: SUITE 365	
City: NOVI	State: Michigan	Country: United States	ZIP+4/Postal Code: 48375

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1111 W. 6TH ST		Number and Street 2: SUITE 310	
City: AUSTIN	State: Texas	Country: United States	ZIP+4/Postal Code: 78703

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 350 LINDEN OAKS		Number and Street 2: 1ST FLOOR	
City: ROCHESTER	State: New York	Country: United States	ZIP+4/Postal Code: 14625

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 10500 SW GREENBURG		Number and Street 2: SUITE 200	
City: PORTLAND	State: Oregon	Country: United States	ZIP+4/Postal Code: 97223

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1601 NORTHWEST EXPRESSWAY		Number and Street 2: SUITE 1525	
City: OKLAHOMA CITY	State: Oklahoma	Country: United States	ZIP+4/Postal Code: 73118

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1645 INDIAN WOOD CIRCLE		Number and Street 2: SUITE 104	
City: MAUMEE	State: Ohio	Country: United States	ZIP+4/Postal Code: 43537

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
207 EAST SHORE DRIVE

City:
SPRING

State:
Texas

Country:
United States

Number and Street 2:
SUITE 230

ZIP+4/Postal Code:
77380

If this address is a private residence, check this box:

☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
355 ALHAMBRA CIRCLE

City:
CORAL GABLES

State:
Florida

Country:
United States

Number and Street 2:
SUITE 1500

ZIP+4/Postal Code:
33134

If this address is a private residence, check this box:

☐

Telephone Number:
888-752-6742

Facsimile number, if any:
866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
SUMMIT WOODS I BUILDING

Number and Street 2:
100 EAST BUSINESS WAY SUITE 360

City: CINCINNATI	State: Ohio	Country: United States	ZIP+4/Postal Code: 45241
---------------------	----------------	---------------------------	-----------------------------

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 12 CADILLAC DRIVE	Number and Street 2: SUITE 450		
City: BRENTWOOD	State: Tennessee	Country: United States	ZIP+4/Postal Code: 37027

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1331 GEMINI AVENUE	Number and Street 2: SUITE 200-A		
City: LEAGUE CITY	State: Texas	Country: United States	ZIP+4/Postal Code: 77058

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
39775 TRADITIONS DRIVE

City: NORTHVILLE
State: Michigan

Number and Street 2:
SUITE D-800

Country: United States
ZIP+4/Postal Code: 48168

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333
Facsimile number, if any: 866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
1120 W. 122ND AVE

City: WESTMINSTER
State: Colorado

Number and Street 2:
SUITE 300

Country: United States
ZIP+4/Postal Code: 80234

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333
Facsimile number, if any: 866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
N16W23217 STONE RIDGE DRIVE

City: WAUKESHA
State: Wisconsin

Number and Street 2:
SUITE 100

Country: United States
ZIP+4/Postal Code: 53188

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333
Facsimile number, if any: 866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 13727 NOEL ROAD TOWER 2		Number and Street 2: SUITE 1075	
City: DALLAS	State: Texas	Country: United States	ZIP+4/Postal Code: 75240

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1600 HWY 6 S		Number and Street 2: SUITE 450	
City: SUGAR LAND	State: Texas	Country: United States	ZIP+4/Postal Code: 77478

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 1800 DIAGONAL ROAD		Number and Street 2: SUITE 480	
City: ALEXANDRIA	State: Virginia	Country: United States	ZIP+4/Postal Code: 22314

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.

- ☒ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 4000 LEGATO ROAD		Number and Street 2: 8TH FLOOR	
City: FAIRFAX	State: Virginia	Country: United States	ZIP+4/Postal Code: 22033

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 2901 DOUGLAS BLVD		Number and Street 2: SUITE 250	
City: ROSEVILLE	State: California	Country: United States	ZIP+4/Postal Code: 95661

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
SMARSH

Number and Street 1: 851 SW 6TH AVE		Number and Street 2: SUITE 800	
City: PORTLAND	State: Oregon	Country: United States	ZIP+4/Postal Code: 97204

If this address is a private residence, check this box: ☐

Telephone Number:
866-762-7741

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ARCHIVAL OF ELECTRONIC COMMUNICATIONS

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
8555 N. RIVER ROAD

City:
INDIANAPOLIS

State:
Indiana

Number and Street 2:
SUITE 350

Country:
United States

ZIP+4/Postal Code:
46240

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
6500 SHERIDAN DRIVE

City:
AMHERST

State:
New York

Number and Street 2:
SUITE 110

Country:
United States

ZIP+4/Postal Code:
14221

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS, L.L.C.

Number and Street 1:
2950 SOUTH STATE STREET

City:

State:

Number and Street 2:
SUITE 250

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:
888-752-6742

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
46 PALACE ROAD, PRESTIGE TRADE TOWER

City:
SAMPANGI RAMA NAGAR

State:

Country:
India

Number and Street 2:
LEVEL 11

ZIP+4/Postal Code:
560001

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
650 FROM ROAD

City:
PARAMUS

State:
New Jersey

Country:
United States

Number and Street 2:
SUITE 460

ZIP+4/Postal Code:
07652

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 20700 44TH AVE WEST		Number and Street 2: SUITE 500	
City: LYNNWOOD	State: Washington	Country: United States	ZIP+4/Postal Code: 98036
If this address is a private residence, check this box: ☐			
Telephone Number: 833-752-6333		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept: FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1: 3094 HARRODSBURG ROAD		Number and Street 2: SUITE 202	
City: LEXINGTON	State: Kentucky	Country: United States	ZIP+4/Postal Code: 40503
If this address is a private residence, check this box: ☐			
Telephone Number: (859) 317-2747		Facsimile number, if any: (866) 558-9257	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept: FINANCIAL ENGINES ADVISORS L.L.C.			
Number and Street 1: 3100 SANDERS ROAD		Number and Street 2: SUITE 125	
City: NORTHBROOK	State: Illinois	Country: United States	ZIP+4/Postal Code: 60062
If this address is a private residence, check this box: ☐			
Telephone Number: 888-752-6742		Facsimile number, if any: 866-742-7222	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.			

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 10200 HARWIN DR		Number and Street 2:	
City: HOUSTON	State: Texas	Country: United States	ZIP+4/Postal Code: 77036

If this address is a private residence, check this box: ☐

Telephone Number: 713-290-9000	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 1702 BOICE POND RD		Number and Street 2:	
City: ORLANDO	State: Florida	Country: United States	ZIP+4/Postal Code: 32837

If this address is a private residence, check this box: ☐

Telephone Number: 407-770-1490	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 6031 UNIVERSITY BOULEVARD		Number and Street 2: SUITE 150	
City: ELLICOTT CITY	State: Maryland	Country: United States	ZIP+4/Postal Code: 21043

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 3950 CIVIC CENTER DRIVE		Number and Street 2: SUITE 315	
City: SAN RAFAEL	State: California	Country: United States	ZIP+4/Postal Code: 94903

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile number, if any: 866-742-7222
-----------------------------------	---

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 2626 ELECTRONICS WAY		Number and Street 2:	
City: WEST PALM BEACH	State: Florida	Country: United States	ZIP+4/Postal Code: 33407

If this address is a private residence, check this box: ☐

Telephone Number: 561-273-1122	Facsimile number, if any:
-----------------------------------	---------------------------

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1: 5510 CASCADE RD SE		Number and Street 2: SUITE 280	
City: GRAND RAPIDS	State: Michigan	Country: United States	ZIP+4/Postal Code: 49546

If this address is a private residence, check this box: ☐

Telephone Number: 888-752-6742	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 3610 HWY 31 SOUTH		Number and Street 2:	
City: CALERA	State: Alabama	Country: United States	ZIP+4/Postal Code: 35040

If this address is a private residence, check this box: ☐

Telephone Number: 205-668-0554	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 1200 GRANGER RD		Number and Street 2:	
City: BROOKLYN HEIGHTS	State: Ohio	Country: United States	ZIP+4/Postal Code: 44131

If this address is a private residence, check this box: ☐

Telephone Number: 216-749-4636	Facsimile number, if any:
-----------------------------------	---------------------------

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1: 840 E OAKLAND AVE		Number and Street 2:	
City: LANSING	State: Michigan	Country: United States	ZIP+4/Postal Code: 48906

If this address is a private residence, check this box: ☐

Telephone Number:
517-484-1555

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
VITAL RECORDS CONTROL

Number and Street 1:
133 N BROADWAY, KNOXVILLE TN

City:
KNOXVILLE

State:
Tennessee

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
37917

If this address is a private residence, check this box: ☐

Telephone Number:
865-637-7881

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
159 CROCKER PARK BOULEVARD

City:
WESTLAKE

State:
Ohio

Country:
United States

Number and Street 2:
SUITE 260

ZIP+4/Postal Code:
44145

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333

Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:

1499 WINDHORST WAY

City:

GREENWOOD

State:

Indiana

Country:

United States

ZIP+4/Postal Code:

46143

Number and Street 2:

SUITE 210

If this address is a private residence, check this box:

☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Number and Street 1:

3827 BROOKHAM DRIVE

City:

GROVE CITY

State:

Ohio

Country:

United States

ZIP+4/Postal Code:

43123

Number and Street 2:

If this address is a private residence, check this box:

☐

Telephone Number:

614-299-2121

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

OFFSITE STORAGE FOR CERTAIN COMPLIANCE BOOKS AND RECORDS.

Number and Street 1:

5831 OAKLAND DRIVE

City:

PORTAGE

State:

Michigan

Country:

United States

ZIP+4/Postal Code:

49024

Number and Street 2:

If this address is a private residence, check this box:

☐

Telephone Number:

833-752-6333

Facsimile number, if any:

866-742-7222

This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
431 E. CLAIREMONT AVENUE
City:
EAU CLAIRE

State:
Wisconsin

Number and Street 2:
SUITE B
Country:
United States
ZIP+4/Postal Code:
54701

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333
Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
1330 HOSFORD STREET
City:
HUDSON

State:
Wisconsin

Number and Street 2:
SUITE B
Country:
United States
ZIP+4/Postal Code:
54016

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333
Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
FINANCIAL ENGINES ADVISORS L.L.C.

Number and Street 1:
9921 DUPON CIRCLE DRIVE WEST
City:
FORT WAYNE

State:
Indiana

Number and Street 2:
SUITE 225
Country:
United States
ZIP+4/Postal Code:
46825

If this address is a private residence, check this box: ☐

Telephone Number:
833-752-6333
Facsimile number, if any:
866-742-7222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

Name of entity where books and records are kept:
AMAZON WEB SERVICES (AWS)

Number and Street 1: 410 TERRY AVENUE NORTH		Number and Street 2:	
City: SEATTLE	State: Washington	Country: United States	ZIP+4/Postal Code: 98109

If this address is a private residence, check this box: ☐

Telephone Number: 833-752-6333	Facsimile number, if any: 866-742-7222
-----------------------------------	---

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
POLICIES AND PROCEDURES, DISCLOSURE DOCUMENTS, AND CLIENT RECORDS INCLUDING AGREEMENTS, CLIENT PROFILES, CORRESPONDENCE, AND CERTAIN LOGS, ETC.

SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

No Information Filed

Item 2 SEC Registration / Reporting

Responses to this Item help us (and you) determine whether you are eligible to register with the SEC. Complete this Item 2.A. only if you are applying for SEC registration or submitting an *annual updating amendment* to your SEC registration. If you are filing an *umbrella registration*, the information in Item 2 should be provided for the *filing adviser* only.

- A. To register (or remain registered) with the SEC, you must check **at least one** of the Items 2.A.(1) through 2.A.(12), below. If you are submitting an *annual updating amendment* to your SEC registration and you are no longer eligible to register with the SEC, check Item 2.A.(13). [Part 1A Instruction 2](#) provides information to help you determine whether you may affirmatively respond to each of these items.
- You (the adviser):
- ☒ (1) are a **large advisory firm** that either:
- (a) has regulatory assets under management of \$100 million (in U.S. dollars) or more; or

(b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent *annual updating amendment* and is registered with the SEC;
- ☐ (2) are a **mid-sized advisory firm** that has regulatory assets under management of \$25 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either:
- (a) not required to be registered as an adviser with the *state securities authority* of the state where you maintain your *principal office and place of business*; or

(b) not subject to examination by the *state securities authority* of the state where you maintain your *principal office and place of business*;

[Click **HERE** for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.](#)
- ☐ (3) Reserved
- ☐ (4) have your *principal office and place of business* **outside the United States**;
- ☐ (5) are **an investment adviser (or subadviser) to an investment company** registered under the Investment Company Act of 1940;
- ☐ (6) are **an investment adviser to a company which has elected to be a business development company** pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management;
- ☐ (7) are a **pension consultant** with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a);
- ☐ (8) are a **related adviser** under rule 203A-2(b) that *controls*, is *controlled by*, or is under common *control* with, an investment adviser that is registered with the SEC, and your *principal office and place of business* is the same as the registered adviser;
- If you check this box, complete [Section 2.A.\(8\) of Schedule D](#).*

- ☐ (9) are an **adviser** relying on rule 203A-2(c) because you **expect to be eligible for SEC registration within 120 days**;
- If you check this box, complete [Section 2.A.\(9\) of Schedule D](#).
- ☐ (10) are a **multi-state adviser** that is required to register in 15 or more states and is relying on rule 203A-2(d);
- If you check this box, complete [Section 2.A.\(10\) of Schedule D](#).
- ☐ (11) are an **Internet adviser** relying on rule 203A-2(e);
- If you check this box, complete [Section 2.A.\(11\) of Schedule D](#).
- ☐ (12) have **received an SEC order** exempting you from the prohibition against registration with the SEC;
- If you check this box, complete [Section 2.A.\(12\) of Schedule D](#).
- ☐ (13) are **no longer eligible** to remain registered with the SEC.

State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers

C. Under state laws, SEC-registered advisers may be required to provide to *state securities authorities* a copy of the Form ADV and any amendments they file with the SEC. These are called *notice filings*. In addition, *exempt reporting advisers* may be required to provide *state securities authorities* with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your *notice filings* or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to your registration to stop your *notice filings* or reports from going to state(s) that currently receive them, uncheck the box(es) next to those state(s).

Jurisdictions

☒ AL	☒ IL	☒ NE	☒ SC
☒ AK	☒ IN	☒ NV	☒ SD
☒ AZ	☒ IA	☒ NH	☒ TN
☒ AR	☒ KS	☒ NJ	☒ TX
☒ CA	☒ KY	☒ NM	☒ UT
☒ CO	☒ LA	☒ NY	☒ VT
☒ CT	☒ ME	☒ NC	☒ VI
☒ DE	☒ MD	☒ ND	☒ VA
☒ DC	☒ MA	☒ OH	☒ WA
☒ FL	☒ MI	☒ OK	☒ WV
☒ GA	☒ MN	☒ OR	☒ WI
☐ GU	☒ MS	☒ PA	☒ WY
☒ HI	☒ MO	☒ PR	
☒ ID	☒ MT	☒ RI	

If you are amending your registration to stop your notice filings or reports from going to a state that currently receives them and you do not want to pay that state's notice filing or report filing fee for the coming year, your amendment must be filed before the end of the year (December 31).

SECTION 2.A.(8) Related Adviser

If you are relying on the exemption in rule 203A-2(b) from the prohibition on registration because you *control*, are *controlled* by, or are under common *control* with an investment adviser that is registered with the SEC and your *principal office and place of business* is the same as that of the registered adviser, provide the following information:

Name of Registered Investment Adviser

CRD Number of Registered Investment Adviser

SEC Number of Registered Investment Adviser
-

SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days

If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:

- ☐ I am not registered or required to be registered with the SEC or a *state securities authority* and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.
- ☐ I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.

SECTION 2.A.(10) Multi-State Adviser

If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.

If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:

- ☐ I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the *state securities authorities* in those states.
- ☐ I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the *state securities authorities* of those states.

If you are submitting your *annual updating amendment*, you must make this representation:

- ☐ Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the *state securities authorities* in those states.

SECTION 2.A.(11) Internet Adviser

If you are relying on rule 203A-2(e), the Internet adviser exemption from the prohibition on registration, you are required to make a representation about your eligibility for SEC registration. By checking the appropriate box, you will be deemed to have made the required representation.

If you are applying for registration as an investment adviser with the SEC or changing your existing Item 2 response regarding your eligibility for SEC registration, you must make this representation:

- ☐ I will provide investment advice on an ongoing basis to more than one client exclusively through an *operational interactive website*.

If you are filing an annual updating amendment to your existing registration and are continuing to rely on the Internet adviser exemption for SEC registration, you must make this representation:

- ☐ I have provided and will continue to provide investment advice on an ongoing basis to more than one client exclusively through an *operational interactive website*.

SECTION 2.A.(12) SEC Exemptive Order

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number:
803-

Date of *order*:

Item 3 Form of Organization

If you are filing an *umbrella registration*, the information in Item 3 should be provided for the *filing adviser* only.

- A. How are you organized?

☐ Corporation

☐ Sole Proprietorship

☐ Limited Liability Partnership (LLP)

☐ Partnership

☒ Limited Liability Company (LLC)

☐ Limited Partnership (LP)

☐ Other (specify):

If you are changing your response to this Item, see [Part 1A Instruction 4](#).

- B. In what month does your fiscal year end each year?

DECEMBER

- C. Under the laws of what state or country are you organized?

StateCountry

DelawareUnited States

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.

If you are changing your response to this Item, see [Part 1A Instruction 4](#).

Item 4 Successions

Yes

No

A.

Are you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your structure or legal status (e.g., form of organization or state of incorporation)?

If "yes", complete Item 4.B. and Section 4 of Schedule D.

B.

Date of Succession: (MM/DD/YYYY)

If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction 4.

SECTION 4 Successions

No Information Filed

Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

Responses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5.

Employees

If you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employee performs more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).

A.

Approximately how many employees do you have? Include full- and part-time employees but do not include any clerical workers.

1679

B.

(1)

Approximately how many of the employees reported in 5.A. perform investment advisory functions (including research)?

553

(2)

Approximately how many of the employees reported in 5.A. are registered representatives of a broker-dealer?

0

(3)

Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser representatives?

692

(4)

Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser representatives for an investment adviser other than you?

0

(5)

Approximately how many of the employees reported in 5.A. are licensed agents of an insurance company or agency?

405

(6)

Approximately how many firms or other persons solicit advisory clients on your behalf?

7

In your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that solicit on your behalf.

Clients

In your responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

C.

(1)

To approximately how many clients for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year?

322130

(2)

Approximately what percentage of your clients are non-United States persons?

0%

D.

For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships.

The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, do not answer (1)(d) or (3)(d) below.

Indicate the approximate number of your clients and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of client. If you have fewer than 5 clients in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below.

If a *client* fits into more than one category, select one category that most accurately represents the *client* to avoid double counting *clients* and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

Type of <i>Client</i>	(1) Number of <i>Client(s)</i>	(2) Fewer than 5 <i>Clients</i>	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than <i>high net worth individuals</i>)	431514	☐	\$ 92,640,909,960
(b) <i>High net worth individuals</i>	45656	☐	\$ 86,540,368,651
(c) Banking or thrift institutions	0	☐	\$ 0
(d) Investment companies	0		\$ 0
(e) Business development companies	0		\$ 0
(f) Pooled investment vehicles (other than investment companies and business development companies)	0		\$ 0
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)	227	☐	\$ 936,175,962
(h) Charitable organizations	44	☐	\$ 113,569,075
(i) State or municipal <i>government entities</i> (including government pension plans)	0	☐	\$ 0
(j) Other investment advisers	766796	☐	\$ 145,754,767,120
(k) Insurance companies	0	☐	\$ 0
(l) Sovereign wealth funds and foreign official institutions	0	☐	\$ 0
(m) Corporations or other businesses not listed above	169	☐	\$ 299,452,625
(n) Other:		☐	\$

Compensation Arrangements

E. You are compensated for your investment advisory services by (check all that apply):

☒

(1) A percentage of assets under your management

☒

(2) Hourly charges

☒

(3) Subscription fees (for a newsletter or periodical)

☒

(4) Fixed fees (other than subscription fees)

☐

(5) Commissions

☐

(6) *Performance-based fees*

☒

(7) Other (specify): SET-UP FEES & RELATED SVCS; REIMBURSEMENTS FOR PRINTED MATERIALS

Item 5 Information About Your Advisory Business - Regulatory Assets Under Management

Regulatory Assets Under Management

Yes

No

F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios?

☒

☐

(2) If yes, what is the amount of your regulatory assets under management and total number of accounts?

U.S. Dollar Amount

Total Number of Accounts

Discretionary:

(a) \$ 326,285,243,393

(d) 1,517,156

Non-Discretionary:

(b) \$ 0

(e) 0

Total:

(c) \$ 326,285,243,393

(f) 1,517,156

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

(3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to *clients* who are non-*United States persons*?

\$ 0

Item 5 Information About Your Advisory Business - Advisory Activities

Advisory Activities

G. What type(s) of advisory services do you provide? Check all that apply.

☒

(1) Financial planning services

☒

(2) Portfolio management for individuals and/or small businesses

☐

(3) Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940)

☐

(4) Portfolio management for pooled investment vehicles (other than investment companies)

☒

(5) Portfolio management for businesses (other than small businesses) or institutional *clients* (other than registered investment companies and other pooled investment vehicles)

☒

(6) Pension consulting services

- ☒

(7)

Selection of other advisers (including *private fund* managers)
- ☒

(8)

Publication of periodicals or newsletters
- ☐

(9)

Security ratings or pricing services
- ☐

(10)

Market timing services
- ☒

(11)

Educational seminars/workshops
- ☐

(12)

Other(specify):

Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in [Section 5.G.\(3\) of Schedule D](#).

H. If you provide financial planning services, to how many *clients* did you provide these services during your last fiscal year?

- ☐

0
- ☐

1 - 10
- ☐

11 - 25
- ☐

26 - 50
- ☐

51 - 100
- ☐

101 - 250
- ☐

251 - 500
- ☒

More than 500
- If more than 500, how many?
- 101,000 (round to the nearest 500)

In your responses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

I.

(1) Do you participate in a *wrap fee program*?

Yes

No

(2) If you participate in a *wrap fee program*, what is the amount of your regulatory assets under management attributable to acting as:

(a) *sponsor to a wrap fee program*

\$ 0

(b) *portfolio manager for a wrap fee program?*

\$ 0

(c) *sponsor to and portfolio manager for the same wrap fee program?*

\$ 67,157,020,624

If you report an amount in Item 5.I.(2)(c), do not report that amount in Item 5.I.(2)(a) or Item 5.I.(2)(b).

If you are a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in [Section 5.I.\(2\) of Schedule D](#).

If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered through a wrap fee program, do not check Item 5.I.(1) or enter any amounts in response to Item 5.I.(2).

J.

(1) In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of investments?

Yes

No

(2) Do you report *client* assets in Item 4.E. of Part 2A that are computed using a different method than the method used to compute your regulatory assets under management?

Yes

No

K.

Separately Managed Account *Clients*

Yes

No

(1) Do you have regulatory assets under management attributable to *clients* other than those listed in Item 5.D.(3)(d)-(f) (separately managed account *clients*)?

Yes

No

If yes, complete [Section 5.K.\(1\) of Schedule D](#).

(2) Do you engage in borrowing transactions on behalf of any of the separately managed account *clients* that you advise?

Yes

No

If yes, complete [Section 5.K.\(2\) of Schedule D](#).

(3) Do you engage in derivative transactions on behalf of any of the separately managed account *clients* that you advise?

Yes

No

If yes, complete [Section 5.K.\(2\) of Schedule D](#).

(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management?

Yes

No

If yes, complete [Section 5.K.\(3\) of Schedule D](#) for each custodian.

L.

Marketing Activities

Yes

No

(1) Do any of your *advertisements* include:

(a) Performance results?

(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?

(c) *Testimonials* (other than those that satisfy rule 206(4)-1(b)(4)(ii))?

(d) *Endorsements* (other than those that satisfy rule 206(4)-1(b)(4)(ii))?

(e) *Third-party ratings*?

(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of *testimonials*, *endorsements*, or *third-party ratings*?

(3) Do any of your *advertisements* include *hypothetical performance* ?

(4) Do any of your *advertisements* include *predecessor performance* ?

SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies

No Information Filed

SECTION 5.I.(2) Wrap Fee Programs

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its *sponsor*. You must complete a separate Schedule D Section 5.I.(2) for each *wrap fee program* for which you are a portfolio manager.

Name of *Wrap Fee Program*

FINANCIAL ENGINES ADVISORS L.L.C. WRAP FEE PROGRAM

Name of *Sponsor*

EDELMAN FINANCIAL ENGINES

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 55196

Sponsor's CRD Number (if any):

104510

SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least \$10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than \$10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment* . Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers' acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

(a)	Asset Type	Mid-year	End of year
	(i) Exchange-Traded Equity Securities	0 %	0 %
	(ii) Non Exchange-Traded Equity Securities	0 %	0 %
	(iii) U.S. Government/Agency Bonds	0 %	0 %
	(iv) U.S. State and Local Bonds	0 %	0 %
	(v) Sovereign Bonds	0 %	0 %
	(vi) Investment Grade Corporate Bonds	0 %	0 %
	(vii) Non-Investment Grade Corporate Bonds	0 %	0 %
	(viii) Derivatives	0 %	0 %
	(ix) Securities Issued by Registered Investment Companies or Business Development Companies	36 %	34 %
	(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	63 %	65 %
	(xi) Cash and Cash Equivalents	1 %	1 %
	(xii) Other	0 %	0 %

Generally describe any assets included in "Other"

(b)	Asset Type	End of year
	(i) Exchange-Traded Equity Securities	%
	(ii) Non Exchange-Traded Equity Securities	%
	(iii) U.S. Government/Agency Bonds	%
	(iv) U.S. State and Local Bonds	%
	(v) Sovereign Bonds	%
	(vi) Investment Grade Corporate Bonds	%
	(vii) Non-Investment Grade Corporate Bonds	%
	(viii) Derivatives	%
	(ix) Securities Issued by Registered Investment Companies or Business Development Companies	%
	(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%
	(xi) Cash and Cash Equivalents	%
	(xii) Other	%

Generally describe any assets included in "Other"

SECTION 5.K.(2) Separately Managed Accounts - Use of Borrowingsand Derivatives

☐ No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least \$10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least \$500 million but less than \$10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of *borrowings* for the accounts included in column 1.

In column 3, provide aggregate *gross notional value* of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

(i) Mid-Year

--	--	--	--

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) <i>Borrowings</i>	(3) Derivative Exposures					
			(a) <i>Interest Rate Derivative</i>	(b) <i>Foreign Exchange Derivative</i>	(c) <i>Credit Derivative</i>	(d) <i>Equity Derivative</i>	(e) <i>Commodity Derivative</i>	(f) <i>Other Derivative</i>
Less than 10 %	\$	\$	%	%	%	%	%	%
10-149 %	\$	\$	%	%	%	%	%	%
150 % or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) <i>Borrowings</i>	(3) Derivative Exposures					
			(a) <i>Interest Rate Derivative</i>	(b) <i>Foreign Exchange Derivative</i>	(c) <i>Credit Derivative</i>	(d) <i>Equity Derivative</i>	(e) <i>Commodity Derivative</i>	(f) <i>Other Derivative</i>
Less than 10 %	\$	\$	%	%	%	%	%	%
10-149 %	\$	\$	%	%	%	%	%	%
150 % or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of *borrowings* for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) <i>Borrowings</i>
Less than 10 %	\$	\$
10-149 %	\$	\$
150 % or more	\$	\$

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

SECTION 5.K.(3) Custodians for Separately Managed Accounts

Complete a separate Schedule D Section 5.K.(3) for each custodian that holds ten percent or more of your aggregate separately managed account regulatory assets under management.

(a)

Legal name of custodian:
THE VANGUARD GROUP INC

(b)

Primary business name of custodian:
THE VANGUARD GROUP INC

(c)

The location(s) of the custodian's office(s) responsible for *custody* of the assets :

City:
MALVERN

State:
Pennsylvania

Country:
United States

(d)

Is the custodian a *related person* of your firm?

Yes

No

(e)	If the custodian is a broker-dealer, provide its SEC registration number (if any)	-
(f)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)	5493002789CX3LOCJP65
(g)	What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?	\$ 51,422,285,550

(a)	Legal name of custodian:	CHARLES SCHWAB & CO., INC.		
(b)	Primary business name of custodian:	CHARLES SCHWAB & CO., INC.		
(c)	The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :	City:	State:	Country:
		WESTLAKE	Texas	United States
(d)	Is the custodian a <i>related person</i> of your firm?	Yes No		
(e)	If the custodian is a broker-dealer, provide its SEC registration number (if any)	8 - 16514		
(f)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)			
(g)	What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?	\$ 72,974,056,697		

(a)	Legal name of custodian:	FIDELITY DISTRIBUTORS COMPANY LLC		
(b)	Primary business name of custodian:	FIDELITY DISTRIBUTORS COMPANY LLC		
(c)	The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :	City:	State:	Country:
		SMITHFIELD	Rhode Island	United States
(d)	Is the custodian a <i>related person</i> of your firm?	Yes No		
(e)	If the custodian is a broker-dealer, provide its SEC registration number (if any)	8 - 35097		
(f)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)			
(g)	What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?	\$ 85,282,627,829		

(a)	Legal name of custodian:	ALIGHT SOLUTIONS, LLC		
(b)	Primary business name of custodian:	ALIGHT SOLUTIONS, LLC		
(c)	The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :	City:	State:	Country:
		LINCOLNSHIRE	Illinois	United States
(d)	Is the custodian a <i>related person</i> of your firm?	Yes No		
(e)	If the custodian is a broker-dealer, provide its SEC registration number (if any)	-		
(f)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)			
(g)	What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?	\$ 34,553,872,760		

(a)	Legal name of custodian: VOYA RETIREMENT ADVISORS, LLC			
(b)	Primary business name of custodian: VOYA RETIREMENT ADVISORS, LLC			
(c)	The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :			
	City: WINDSOR	State: Connecticut	Country: United States	
				Yes No
(d)	Is the custodian a <i>related person</i> of your firm?			☐ ☒
(e)	If the custodian is a broker-dealer, provide its SEC registration number (if any) 8 - 14495			
(f)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)			
(g)	What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian? \$ 32,541,154,766			

Item 6 Other Business Activities				
In this Item, we request information about your firm's other business activities.				
A.	You are actively engaged in business as a (check all that apply):			
	☐ (1)	broker-dealer (registered or unregistered)		
	☐ (2)	registered representative of a broker-dealer		
	☐ (3)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	☐ (4)	futures commission merchant		
	☐ (5)	real estate broker, dealer, or agent		
	☐ (6)	insurance broker or agent		
	☐ (7)	bank (including a separately identifiable department or division of a bank)		
	☐ (8)	trust company		
	☐ (9)	registered municipal advisor		
	☐ (10)	registered security-based swap dealer		
	☐ (11)	major security-based swap participant		
	☐ (12)	accountant or accounting firm		
	☐ (13)	lawyer or law firm		
	☐ (14)	other financial product salesperson (specify):		
		If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D .		
				Yes No
B.	(1)	Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?		
	(2)	If yes, is this other business your primary business?		
		If "yes," describe this other business on Section 6.B.(2) of Schedule D , and if you engage in this business under a different name, provide that name.		
				Yes No
	(3)	Do you sell products or provide services other than investment advice to your advisory <i>clients</i> ?		
		If "yes," describe this other business on Section 6.B.(3) of Schedule D , and if you engage in this business under a different name, provide that name.		

SECTION 6.A. Names of Your Other Businesses
No Information Filed

SECTION 6.B.(2) Description of Primary Business
Describe your primary business (not your investment advisory business):
If you engage in that business under a different name, provide that name:

SECTION 6.B.(3) Description of Other Products and Services
Describe other products or services you sell to your <i>client</i> . You may omit products and services that you listed in Section 6.B.(2) above. FEA PROVIDES INVESTMENT GUIDANCE AND EDUCATION TO RETIREMENT PLAN PARTICIPANTS PURSUANT TO CONTRACTS WITH PLAN SPONSORS OR PROVIDERS; AND MAY PROVIDE ALLOCATION ANALYSIS OF PLAN SPONSOR CONTROLLED, PRE-CONFIGURED PORTFOLIOS.

If you engage in that business under a different name, provide that name:

Item 7 Financial Industry Affiliations

In this Item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest may occur between you and your *clients*.

A. This part of Item 7 requires you to provide information about you and your *related persons*, including foreign affiliates. Your *related persons* are all of your *advisory affiliates* and any *person* that is under common *control* with you.

You have a *related person* that is a (check all that apply):

- ☐ (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)
- ☐ (2) other investment adviser (including financial planners)
- ☐ (3) registered municipal advisor
- ☐ (4) registered security-based swap dealer
- ☐ (5) major security-based swap participant
- ☐ (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (7) futures commission merchant
- ☐ (8) banking or thrift institution
- ☐ (9) trust company
- ☒ (10) accountant or accounting firm
- ☐ (11) lawyer or law firm
- ☒ (12) insurance company or agency
- ☐ (13) pension consultant
- ☐ (14) real estate broker or dealer
- ☐ (15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- ☐ (16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Note that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representatives of a broker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of your firm's employees who are registered representatives of a broker-dealer should be disclosed under Item 5.B.(2).

Note that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to complete Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete [Section 7.A. of Schedule D](#).

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

You must complete [Section 7.A. of Schedule D](#) for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

SECTION 7.A. Financial Industry Affiliations

Complete a separate Schedule D Section 7.A. for each *related person* listed in Item 7.A.

1. Legal Name of *Related Person*:
EFE TAX, LLC

2. Primary Business Name of *Related Person*:
EFE TAX, LLC

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
-
or
Other

4. *Related Person's*
(a) CRD Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. *Related Person* is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☐ other investment adviser (including financial planners)

- (c) ☐ registered municipal advisor
- (d) ☐ registered security-based swap dealer
- (e) ☐ major security-based swap participant
- (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (g) ☐ futures commission merchant
- (h) ☐ banking or thrift institution
- (i) ☐ trust company
- (j) ☒ accountant or accounting firm
- (k) ☐ lawyer or law firm
- (l) ☐ insurance company or agency
- (m) ☐ pension consultant
- (n) ☐ real estate broker or dealer
- (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes No

☐ ☐

○ ○

(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets:

Number and Street 1:		Number and Street 2:	
City:	State:	Country:	ZIP+4/Postal Code:
If this address is a private residence, check this box: ☐			

Yes No

○ ○



No Information Filed



1. Legal Name of *Related Person*:
EDELMAN FINANCIAL SERVICES, LLC

2. Primary Business Name of *Related Person*:
EDELMAN FINANCIAL SERVICES, LLC

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
-
or
Other

4. *Related Person's*

(a) *CRD* Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. *Related Person* is: (check all that apply)

(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer

(b) ☐ other investment adviser (including financial planners)

(c) ☐ registered municipal advisor

(d) ☐ registered security-based swap dealer

(e) major security-based swap participant

(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

(g) ☐ futures commission merchant

(h) ☐ banking or thrift institution

A.	Do you or any <i>related person</i> :	Yes	No
(1)	buy securities for yourself from advisory <i>clients</i> , or sell securities you own to advisory <i>clients</i> (principal transactions)?	☐	☒
(2)	buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory <i>clients</i> ?	☒	☐
(3)	recommend securities (or other investment products) to advisory <i>clients</i> in which you or any <i>related person</i> has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?	☐	☒
Sales Interest in <i>Client</i> Transactions			
B.	Do you or any <i>related person</i> :	Yes	No
(1)	as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory <i>client</i> securities are sold to or bought from the brokerage customer (agency cross transactions)?	☐	☒
(2)	recommend to advisory <i>clients</i> , or act as a purchaser representative for advisory <i>clients</i> with respect to, the purchase of securities for which you or any <i>related person</i> serves as underwriter or general or managing partner?	☐	☒
(3)	recommend purchase or sale of securities to advisory <i>clients</i> for which you or any <i>related person</i> has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?	☐	☒
Investment or Brokerage Discretion			
C.	Do you or any <i>related person</i> have <i>discretionary authority</i> to determine the:	Yes	No
(1)	securities to be bought or sold for a <i>client's</i> account?	☒	☐
(2)	amount of securities to be bought or sold for a <i>client's</i> account?	☒	☐
(3)	broker or dealer to be used for a purchase or sale of securities for a <i>client's</i> account?	☒	☐
(4)	commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?	☒	☐
D.	If you answer "yes" to C.(3) above, are any of the brokers or dealers <i>related persons</i> ?	☐	☒
E.	Do you or any <i>related person</i> recommend brokers or dealers to <i>clients</i> ?	☒	☐
F.	If you answer "yes" to E. above, are any of the brokers or dealers <i>related persons</i> ?	☐	☒
G.	(1) Do you or any <i>related person</i> receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	☐	☒
	(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?	☐	☐
H.	(1) Do you or any <i>related person</i> , directly or indirectly, compensate any <i>person</i> that is not an <i>employee</i> for <i>client</i> referrals?	☒	☐
	(2) Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that is specifically related to obtaining <i>clients</i> for the firm (cash or non-cash compensation in addition to the <i>employee's</i> regular salary)?	☒	☐
I.	Do you or any <i>related person</i> , including any <i>employee</i> , directly or indirectly, receive compensation from any <i>person</i> (other than you or any <i>related person</i>) for <i>client</i> referrals?	☐	☒
In your response to Item 8.I., do not include the regular salary you pay to an employee.			
In responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or received from (in answering Item 8.I.) any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount of client referrals.			

Item 9 Custody			
In this Item, we ask you whether you or a <i>related person</i> has <i>custody</i> of <i>client</i> (other than <i>clients</i> that are investment companies registered under the Investment Company Act of 1940) assets and about your custodial practices.			
A.	(1) Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	No
	(a) cash or bank accounts?	☒	☐
	(b) securities?	☒	☐
If you are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advisory fees directly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but you have overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-2(d)(5)) from the related person.			
(2)	If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for which you have <i>custody</i> :		
	U.S. Dollar Amount	Total Number of <i>Clients</i>	
	(a) \$ 30,514,878,783	(b) 42,539	
If you are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accounts, do not include the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client assets in connection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to 9.A.(2). Instead, include that information in your response to Item 9.B.(2).			

B.

(1)

In connection with advisory services you provide to *clients*, do any of your *related persons* have *custody* of any of your advisory *clients*':

(a)

cash or bank accounts?

(b)

securities?

Yes

No

You are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).

(2)

If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of *client* funds and securities and total number of *clients* for which your *related persons* have *custody*:

U.S. Dollar Amount

(a) \$

Total Number of *Clients*

(b)

C.

If you or your *related persons* have *custody* of *client* funds or securities in connection with advisory services you provide to *clients*, check all the following that apply:

(1)

A qualified custodian(s) sends account statements at least quarterly to the investors in the pooled investment vehicle(s) you manage.

☐

(2)

An *independent public accountant* audits annually the pooled investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the pools.

☐

(3)

An *independent public accountant* conducts an annual surprise examination of *client* funds and securities.

☐

(4)

An *independent public accountant* prepares an internal control report with respect to custodial services when you or your *related persons* are qualified custodians for *client* funds and securities.

☐

If you checked Item 9.C.(2), C.(3) or C.(4), list in [Section 9.C. of Schedule D](#) the accountants that are engaged to perform the audit or examination or prepare an internal control report. (If you checked Item 9.C.(2), you do not have to list auditor information in [Section 9.C. of Schedule D](#) if you already provided this information with respect to the private funds you advise in [Section 7.B.\(1\) of Schedule D](#)).

D.

Do you or your *related person(s)* act as qualified custodians for your *clients* in connection with advisory services you provide to *clients*?

(1)

you act as a qualified custodian

(2)

your *related person(s)* act as qualified custodian(s)

Yes

No

If you checked "yes" to Item 9.D.(2), all related persons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be identified in [Section 7.A. of Schedule D](#), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

E.

If you are filing your *annual updating amendment* and you were subject to a surprise examination by an *independent public accountant* during your last fiscal year, provide the date (MM/YYYY) the examination commenced:

F.

If you or your *related persons* have *custody* of *client* funds or securities, how many *persons*, including, but not limited to, you and your *related persons*, act as qualified custodians for your *clients* in connection with advisory services you provide to *clients*?

4

SECTION 9.C. Independent Public Accountant

No Information Filed

Item 10 Control Persons

In this Item, we ask you to identify every *person* that, directly or indirectly, *controls* you. If you are filing an *umbrella registration*, the information in Item 10 should be provided for the *filing adviser* only.

If you are submitting an initial application or report, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive officers. Schedule B asks for information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial application or report, you must complete Schedule C.

A.

Does any *person* not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, *control* your management or policies?

Yes

No

If yes, complete [Section 10.A. of Schedule D](#).

B.

If any *person* named in Schedules A, B, or C or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please complete [Section 10.B. of Schedule D](#).

SECTION 10.A. Control Persons

No Information Filed

SECTION 10.B. Control Person Public Reporting Companies

No Information Filed

Item 11 Disclosure Information

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your *advisory affiliates*. We use this information to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the *filing adviser* and all *relying advisers* under an *umbrella registration*.

Your *advisory affiliates* are: (1) all of your current *employees* (other than *employees* performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any *person* performing similar functions); and (3) all *persons* directly or indirectly *controlling* you or *controlled* by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your *advisory affiliates* are.

If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.

You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.

	Yes	No
Do any of the events below involve you or any of your <i>supervised persons</i> ?	☐	☒

For "yes" answers to the following questions, complete a Criminal Action DRP:

A.	In the past ten years, have you or any <i>advisory affiliate</i> :	Yes	No
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	☐	☒
	(2) been <i>charged</i> with any <i>felony</i> ?	☐	☒

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pending.

B.	In the past ten years, have you or any <i>advisory affiliate</i> :		
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	☐	☒
	(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)?	☐	☒

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending.

For "yes" answers to the following questions, complete a Regulatory Action DRP:

C.	Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:	Yes	No
	(1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?	☐	☒
	(2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of SEC or CFTC regulations or statutes?	☐	☒
	(3) <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	☐	☒
	(4) entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with <i>investment-related</i> activity?	☐	☒
	(5) imposed a civil money penalty on you or any <i>advisory affiliate</i> , or <i>ordered</i> you or any <i>advisory affiliate</i> to cease and desist from any activity?	☐	☒

D.	Has any other federal regulatory agency, any state regulatory agency, or any <i>foreign financial regulatory authority</i> :		
	(1) ever <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission, or been dishonest, unfair, or unethical?	☐	☒
	(2) ever <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of <i>investment-related</i> regulations or statutes?	☐	☒
	(3) ever <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	☐	☒
	(4) in the past ten years, entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with an <i>investment-related</i> activity?	☐	☒
	(5) ever denied, suspended, or revoked your or any <i>advisory affiliate's</i> registration or license, or otherwise prevented you or any <i>advisory affiliate</i> , by <i>order</i> , from associating with an <i>investment-related</i> business or restricted your or any <i>advisory affiliate's</i> activity?	☐	☒

E.	Has any <i>self-regulatory organization</i> or commodities exchange ever:		
	(1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?	☐	☒
	(2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of its rules (other than a violation designated as a " <i>minor rule violation</i> " under a plan approved by the SEC)?	☐	☒

(3)	<i>found</i> you or any <i>advisory affiliate</i> to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	☐	☒
(4)	disciplined you or any <i>advisory affiliate</i> by expelling or suspending you or the <i>advisory affiliate</i> from membership, barring or suspending you or the <i>advisory affiliate</i> from association with other members, or otherwise restricting your or the <i>advisory affiliate's</i> activities?	☐	☒
F.	Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any <i>advisory affiliate</i> ever been revoked or suspended?	☐	☒
G.	Are you or any <i>advisory affiliate</i> now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?	☐	☒
For "yes" answers to the following questions, complete a Civil Judicial Action DRP:			
H.	(1) Has any domestic or foreign court:	Yes	No
	(a) in the past ten years, <i>enjoined</i> you or any <i>advisory affiliate</i> in connection with any <i>investment-related</i> activity?	☐	☒
	(b) ever <i>found</i> that you or any <i>advisory affiliate</i> were <i>involved</i> in a violation of <i>investment-related</i> statutes or regulations?	☐	☒
	(c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by a state or <i>foreign financial regulatory authority</i> ?	☐	☒
	(2) Are you or any <i>advisory affiliate</i> now the subject of any civil <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.H.(1)?	☐	☒

Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC **and** you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of *clients*. In determining your or another *person's* total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control* means the power to direct or cause the direction of the management or policies of a *person*, whether through ownership of securities, by contract, or otherwise. Any *person* that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another *person* is presumed to *control* the other *person*.

	Yes	No
A. Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	☐	☐
<i>If "yes," you do not need to answer Items 12.B. and 12.C.</i>		
B. Do you:		
(1) <i>control</i> another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	☐	☐
(2) <i>control</i> another <i>person</i> (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	☐	☐
C. Are you:		
(1) <i>controlled</i> by or under common <i>control</i> with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	☐	☐
(2) <i>controlled</i> by or under common <i>control</i> with another <i>person</i> (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	☐	☐

Schedule A

Direct Owners and Executive Officers

1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.

2. Direct Owners and Executive Officers. List below the names of:

(a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer(Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;

(b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);

Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

(c) if you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;

(d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and

3. Do you have any indirect owners to be reported on Schedule B? ☒ Yes ☐ No

5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).

7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.

(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/IF	Title or Status	Date Title or Status Acquired MM/YYYY	Ownership Code	Control Person	PR	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
EDELMAN FINANCIAL ENGINES, LLC	DE	MEMBER MANAGER	12/1997	E	Y	N	
GILFEDDER, NEIL	I	EXECUTIVE VICE PRESIDENT, CHIEF INVESTMENT OFFICER	03/2023	NA	Y	N	7701975
HANLEY, MEGAN	I	EXECUTIVE VICE PRESIDENT, CHIEF MARKETING OFFICER	01/2024	NA	Y	N	7886341
HABERLI, RALPH, ERNST	I	PRESIDENT AND CHIEF EXECUTIVE OFFICER	10/2025	NA	Y	N	5573096
LIERSCH, MICHAEL	I	EXECUTIVE VICE PRESIDENT, CHIEF PLANNING OFFICER	08/2025	NA	Y	N	5830305
ANTONE, LEWIS, EMERSON	I	EVP, CHIEF LEGAL AND RISK OFFICER, CCO	03/2026	NA	Y	N	2598478

Schedule B

Indirect Owners

1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.

2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:

(a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

(b) in the case of an owner that is a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;

(c) in the case of an owner that is a trust, the trust and each trustee; and

(d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.

3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.

4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.

5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).

6. Ownership codes are: C - 25% but less than 50% E - 75% or more
D - 50% but less than 75% F - Other (general partner, trustee, or elected manager)

7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.

(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/IF	Entity in Which Interest is Owned	Status	Date Status Acquired MM / YYYY	Ownership Code	Control Person	PR	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
THE EDELMAN FINANCIAL ENGINES CENTER, LLC	DE	EDELMAN FINANCIAL ENGINES, LLC	MANAGING MEMBER	07/2018	E	Y	N	
EDELMAN FINANCIAL ENGINES HOLDINGS IV, LLC	DE	THE EDELMAN FINANCIAL ENGINES CENTER, LLC	MANAGING MEMBER	07/2018	E	Y	N	
EDELMAN FINANCIAL ENGINES HOLDINGS III, LLC	DE	EDELMAN FINANCIAL ENGINES HOLDINGS IV, LLC	MANAGING MEMBER	07/2018	E	Y	N	
EDELMAN FINANCIAL ENGINES HOLDINGS I, LLC	DE	EDELMAN FINANCIAL ENGINES HOLDINGS III,	MANAGING MEMBER	07/2018	E	Y	N	

		LLC						
EDELMAN FINANCIAL ENGINES HOLDINGS II, INC.	DE	EDELMAN FINANCIAL ENGINES INVESTMENTS, LLC	MANAGING MEMBER	07/2018	E	Y	N	
EDELMAN FINANCIAL ENGINES HOLDINGS I, LLC	DE	EDELMAN FINANCIAL ENGINES HOLDINGS II, INC.	SOLE STOCKHOLDER	07/2018	E	Y	N	
EDELMAN FINANCIAL ENGINES, L.P.	DE	EDELMAN FINANCIAL ENGINES HOLDINGS I, LLC	MEMBER OF EDELMAN FINANCIAL ENGINES HOLDINGS I, LLC	07/2018	E	Y	N	
EDELMAN FINANCIAL ENGINES INVESTMENTS, LLC	DE	EDELMAN FINANCIAL ENGINES HOLDINGS III, LLC	MEMBER	07/2018	C	Y	N	
H&F FLIGHT GP, LLC	DE	EDELMAN FINANCIAL ENGINES, L.P.	GENERAL PARTNER	07/2018	F	Y	N	

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

In response to Item 1.B(1), the corporate name of the registered investment advisor remains Financial Engines Advisors L.L.C., but our overall business will now primarily operate using the name "Edelman Financial Engines". The response to Item 5.E(7) also includes seminar registration fees and book royalties. The response to Item 5.F(2) may include assets in nonqualified deferral plans that "mirror" the assets in qualified deferral plans also under management. The response to item 5.K(4) includes custodians that hold ten percent or more of regulatory assets under managements. Retirement plan assets are maintained at the applicable plan record-keeper. Additional locations for books and records available upon request. The firm answered "yes" to question 1(b) under Item 5.L because the firm does provide advertisements that include a reference to specific investment advice and does so in a way that is fair and balanced and in compliance with the requirements of Rule 206(4)-1.

Schedule R

No Information Filed

DRP Pages

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

Part 2

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules?

Yes

No

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:		
Brochure ID	Brochure Name	Brochure Type(s)
412719	EFE_WRAP_FEE_BROCHURE_03.31.2025	Wrap program
412720	EFE_ADV_PART_2A_03.31.2025	Individuals, High net worth individuals, Pension plans/profit sharing plans, Foundations/charities, Financial Planning Services

428547	EDELMAN FINANCIAL ENGINES WRAP_FEE_BROCHURE_03.31.2026	Wrap program
428548	EDELMAN_FINANCIAL_ENGINES_PART_2A_03.31.2026	Individuals, High net worth individuals, Pension plans/profit sharing plans, Foundations/charities, Financial Planning Services

Part 3

CRS	Type(s)	Affiliate Info	Retire
☐	Investment Advisor		

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature:

LEWIS ANTONE

Printed Name:

LEWIS ANTONE

Adviser CRD Number:

104510

Date: MM/DD/YYYY

03/31/2026

Title:

EVP CHIEF LEGAL AND RISK OFFICER, CHIEF COMPLIANCE OFFICER

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature:	Date: MM/DD/YYYY
Printed Name:	Title:
Adviser <i>CRD</i> Number:	
104510	