

FORM ADV

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

Primary Business Name: ENVESTNET PMC	CRD Number: 111694
Other-Than-Annual Amendment - All Sections	Rev. 10 / 2021
6 / 30 / 2026 6:18:52 PM	

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):
ENVESTNET ASSET MANAGEMENT, INC.
- B. (1) Name under which you primarily conduct your advisory business, if different from Item 1.A.
ENVESTNET PMC

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: **801-57260**
(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:

CIK Number
1407543
- E. (1) If you have a number ("CRD Number") assigned by the *FINRA's CRD* system or by the IARD system, your *CRD* number: **111694**

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: 1000 CHESTERBROOK BOULEVARD , SUITE 250	Number and Street 2:
City: BERWYN	State: Pennsylvania
Country: United States	ZIP+4/Postal Code: 19312

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:
8:00 A.M. - 5:00 P.M.

(3) Telephone number at this location:
312-827-2800

(4) Facsimile number at this location, if any:

(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?

1

G.

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

Number and Street 1:

City:

State:

Number and Street 2:

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:

City:

State:

Number and Street 2:

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:

Telephone number:

Number and Street 1:

City:

Other titles, if any:

Facsimile number, if any:

Number and Street 2:

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:

Telephone number:

Number and Street 1:

City:

Titles:

Facsimile number, if any:

Number and Street 2:

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: ENVESTNET PMC

☒ 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: 1801 CALIFORNIA ST		Number and Street 2: 23RD FLOOR	
City: DENVER	State: Colorado	Country: United States	ZIP+4/Postal Code: 80202

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

Telephone Number: (866) 924-8913	Facsimile Number, if any:
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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:
18554

How many *employees* perform investment advisory functions from this office location?
28

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:

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.envestnet.com/active-passive>

Address of Website/Account on Publicly Available Social Media Platform: <https://www.facebook.com/Investnet/>

Address of Website/Account on Publicly Available Social Media Platform: https://x.com/Envestnet_

Address of Website/Account on Publicly Available Social Media Platform: <https://x.com/ENVSummit>

Address of Website/Account on Publicly Available Social Media Platform: <https://www.youtube.com/channel/UCSKSh09e27bKbsxuSeg2jqw>

Address of Website/Account on Publicly Available Social Media Platform: <https://investnet.blog>

Address of Website/Account on Publicly Available Social Media Platform: <https://vimeo.com/envestnet>

Address of Website/Account on Publicly Available Social Media Platform: <https://www.instagram.com/envestnet/>

Address of Website/Account on Publicly Available Social Media Platform: <https://www.linkedin.com/company/envestnet>

Address of Website/Account on Publicly Available Social Media Platform: <https://www.envestnet.com/qrg/>

Address of Website/Account on Publicly Available Social Media Platform: [HTTP://WWW.ENVESTNET.COM](http://www.envestnet.com)

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:

COMPLIANCE SCIENCE, INC. / COMPLYSCI			
Number and Street 1: 1 ROCKEFELLER PLAZA		Number and Street 2: 6TH FLOOR	
City: NEW YORK	State: New York	Country: United States	ZIP+4/Postal Code: 10020

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

Telephone Number:
212-327-1533

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.
VARIOUS RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940.

Name of entity where books and records are kept:
MICROSOFT 365

Number and Street 1:
ONE MICROSOFT WAY

City:
REDMOND

State:
Washington

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
98052

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

Telephone Number:
(425) 882-8080

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.
VARIOUS RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940

Name of entity where books and records are kept:
ZOOM COMMUNICATIONS, INC.

Number and Street 1:
55 ALMADEN BOULEVARD, 6TH FLOOR

City:
SAN JOSE

State:
California

Country:
United States

Number and Street 2:

ZIP+4/Postal Code:
95113

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

Telephone Number:
888-799-5926

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.
THIRD-PARTY ELECTRONIC COMMUNICATIONS AND RECORDING/TRANSCRIPT ARCHIVING PROVIDER.

Name of entity where books and records are kept:
IRON MOUNTAIN-IL

Number and Street 1:

333 S. SWIFT ROAD

City:

ADDISON

State:

Illinois

Country:

United States

ZIP+4/Postal Code:

60101

Number and Street 2:

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

☐

Telephone Number:

800-899-4766

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.

VARIOUS RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940

Name of entity where books and records are kept:

ENVESTNET ASSET MANAGEMENT (DENVER)

Number and Street 1:

1801 CALIFORNIA ST

City:

DENVER

State:

Colorado

Number and Street 2:

23RD FLOOR

Country:

United States

ZIP+4/Postal Code:

80202

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

☐

Telephone Number:

(866) 924-8913

Facsimile number, if any:

(303) 824-8291

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.

VARIOUS RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940

Name of entity where books and records are kept:

GLOBAL RELAY - CANADA

Number and Street 1:

220 CAMBIE STREET

City:

VANCOUVER, BRITISH COLUMBIA V6B 2M9

State:

Number and Street 2:

2ND FLOOR

Country:

Canada

ZIP+4/Postal Code:

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.

EMAIL REVIEW SYSTEM. RETENTION SITE.

Name of entity where books and records are kept:
IRON MOUNTAIN-CO

Number and Street 1:
11333 E. 53RD AVENUE

Number and Street 2:

City: State:
DENVER Colorado

Country: ZIP+4/Postal Code:
United States 80239

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

Telephone Number: Facsimile number, if any:
8008994766

- 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.
VARIOUS RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940

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

Number and Street 1:
1405 ARROW POINT DRIVE

Number and Street 2:
SUITE #411

City: State:
CEDAR PARK Texas

Country: ZIP+4/Postal Code:
United States 78613

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

Telephone Number: Facsimile number, if any:
(888) 302-4594

- 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.
VARIOUS MARKETING RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940.

Name of entity where books and records are kept:
PROXYEDGE

Number and Street 1:
51 MERCEDES WAY

Number and Street 2:

City: State:
EDGEWOOD New York

Country: ZIP+4/Postal Code:
United States 11717

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

Telephone Number: Facsimile number, if any:
8003530103

- 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.
BOOKS AND RECORDS RELATED PROXY VOTING.

Name of entity where books and records are kept:
AMAZON WEB SERVICES (AWS)

Number and Street 1: US EAST 2		Number and Street 2:	
City: US EAST 2	State: Ohio	Country: United States	ZIP+4/Postal Code: 43031

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

Telephone Number: 833-662-9873	Facsimile number, if any:
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- 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.
VARIOUS RECORDS REQUIRED UNDER THE INVESTMENT ADVISERS ACT OF 1940. PLATFORM DATA CENTER CO-LOCATION & PRIMARY PRODUCTION DATA CENTER.

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

Number and Street 1: 121 S WACKER DRIVE, 33RD FLOOR		Number and Street 2:	
City: CHICAGO	State: Illinois	Country: United States	ZIP+4/Postal Code: 60606

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

Telephone Number: 866-484-6630	Facsimile number, if any:
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- 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.
EMAIL REVIEW SYSTEM. PRIMARY RETENTION SITE.

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☐☐☐

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

YesNo

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.

532

B.

(1)

Approximately how many of the *employees* reported in 5.A. perform investment advisory functions (including research)?

178

(2)

Approximately how many of the *employees* reported in 5.A. are registered representatives of a broker-dealer?

7

(3)

Approximately how many of the *employees* reported in 5.A. are registered with one or more *state securities authorities* as *investment adviser representatives*?

56

- (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?

3
- (5)

Approximately how many of the *employees* reported in 5.A. are licensed agents of an insurance company or agency?

0
- (6)

Approximately how many firms or other *persons* solicit advisory *clients* on your behalf?

0

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?

0

(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 Client	(1) Number of Client(s)	(2) Fewer than 5 Clients	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than <i>high net worth individuals</i>)	2125667	☐	\$ 387,574,646,773
(b) <i>High net worth individuals</i>	93557	☐	\$ 191,217,429,425
(c) Banking or thrift institutions	0	☐	\$ 0
(d) Investment companies	4		\$ 4,219,169,715
(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)	0	☐	\$ 0
(h) Charitable organizations	5162	☐	\$ 7,188,591,300
(i) State or municipal <i>government entities</i> (including government pension plans)	769	☐	\$ 104,002,762
(j) Other investment advisers	0	☐	\$ 0
(k) Insurance companies	0	☐	\$ 0
(l) Sovereign wealth funds and foreign official institutions	0	☐	\$ 0
(m) Corporations or other businesses not listed above	15422	☐	\$ 23,826,616,516
(n) Other: DO NOT FIT CATEGORIES ABOVE	783	☐	\$ 802,793,253

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)

- (b) portfolio manager for a *wrap fee program*?

\$ 445,903,795,823
- (c) *sponsor* to and portfolio manager for the same *wrap fee program*?

\$ 143,729,584,931

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).

		Yes	No
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?	☐	☒
	(2) Do you report <i>client</i> 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?	☐	☒

K. Separately Managed Account *Clients*

		Yes	No
	(1) Do you have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately managed account <i>clients</i>)?	☒	☐

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 <i>clients</i> that you advise?	☐	☒
--	--	-----------------------	----------------------------------

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 <i>clients</i> that you advise?	☐	☒
--	---	-----------------------	----------------------------------

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?	☒	☐
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If yes, complete [Section 5.K.\(3\) of Schedule D](#) for each custodian.

L. Marketing Activities

		Yes	No
	(1) Do any of your <i>advertisements</i> 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) <i>Testimonials</i> (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	☐	☒
	(d) <i>Endorsements</i> (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	☒	☐
	(e) <i>Third-party ratings</i> ?	☒	☐
	(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 <i>testimonials</i> , <i>endorsements</i> , or <i>third-party ratings</i> ?	☒	☐
	(3) Do any of your <i>advertisements</i> include <i>hypothetical performance</i> ?	☒	☐
	(4) Do any of your <i>advertisements</i> include <i>predecessor performance</i> ?	☒	☐

SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies

If you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business development companies to which you act as an adviser pursuant to an advisory contract? You must complete a separate Schedule D Section 5.G.(3) for each registered investment company and business development company to which you act as an adviser.

SEC File Number

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

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*
ABSOLUTE CAPITAL MANAGEMENT, LLC WRAP PROGRAM

Name of *Sponsor*
ABSOLUTE CAPITAL MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 61336

Sponsor's CRD Number (if any):
121484

Name of *Wrap Fee Program*
AC WEALTH PARTNERS WRAP PROGRAM

Name of *Sponsor*
AC WEALTH PARTNERS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 128024

Sponsor's CRD Number (if any):
326708

Name of *Wrap Fee Program*
ADVISORNET WEALTH MANAGEMENT WRAP PROGRAM

Name of *Sponsor*
ADVISORNET WEALTH PARTNERS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 77035

Sponsor's CRD Number (if any):
113074

Name of *Wrap Fee Program*
ALLWORTH FINANCIAL, L.P. WRAP PROGRAM

Name of *Sponsor*
ALLWORTH FINANCIAL, L.P.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 68255

Sponsor's CRD Number (if any):

111167

Name of Wrap Fee Program

AMERICAN CENTURY INVESTMENTS PRIVATE CLIENT GROUP, INC. WRAP PROGRAM

Name of Sponsor

AMERICAN CENTURY INVESTMENTS PRIVATE CLIENT GROUP, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 111963

Sponsor's CRD Number (if any):

290043

Name of Wrap Fee Program

AMERICAN WEALTH MANAGEMENT WRAP PROGRAM

Name of Sponsor

AMERICAN WEALTH MANAGEMENT, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 66163

Sponsor's CRD Number (if any):

25536

Name of Wrap Fee Program

AMERIPRISE FINANCIAL SERVICES WRAP PROGRAM

Name of Sponsor

ABSOLUTE CAPITAL MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 61336

Sponsor's CRD Number (if any):

121484

Name of Wrap Fee Program

ARETE WEALTH ADVISORS

Name of Sponsor

ARETE WEALTH ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 69827

Sponsor's CRD Number (if any):

145488

Name of Wrap Fee Program

ARROW ALLIANCE, LLC

Name of *Sponsor*
ARROW ALLIANCE

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):
318519

Name of *Wrap Fee Program*
ASSETMARK, INC. WRAP PROGRAM

Name of *Sponsor*
ASSETMARK, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 56323

Sponsor's CRD Number (if any):
109018

Name of *Wrap Fee Program*
ASSOCIATED INVESTMENT SERVICES, INC. WRAP PROGRAM

Name of *Sponsor*
ASSOCIATED INVESTMENT SERVICES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 71639

Sponsor's CRD Number (if any):
1464

Name of *Wrap Fee Program*
ATCAP PARTNERS, LLC WRAP PROGRAM

Name of *Sponsor*
ATCAP PARTNERS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 72617

Sponsor's CRD Number (if any):
158214

Name of *Wrap Fee Program*
AURORA PRIVATE WEALTH WRAP PROGRAM

Name of *Sponsor*
AURORA PRIVATE WEALTH, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 110498

Sponsor's CRD Number (if any):
281604

Name of *Wrap Fee Program*
B. RILEY WEALTH ADVISORS WRAP PROGRAM

Name of *Sponsor*
B. RILEY WEALTH ADVISORS, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 64837

Sponsor's CRD Number (if any):
115927

Name of *Wrap Fee Program*
BANK OF OKLAHOMA WRAP PROGRAM

Name of *Sponsor*
BOK FINANCIAL ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 53600

Sponsor's CRD Number (if any):
17530

Name of *Wrap Fee Program*
BEACON POINTE WRAP PROGRAM

Name of *Sponsor*
BEACON POINTE ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 60943

Sponsor's CRD Number (if any):
119290

Name of *Wrap Fee Program*
BLUE LINE CAPITAL ADVISORS WRAP PROGRAM

Name of *Sponsor*
BLUE LINE CAPITAL ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):
297188

Name of *Wrap Fee Program*
BOLTON SECURITIES CORP. WRAP PROGRAM

Name of *Sponsor*
BOLTON GLOBAL ASSET MANAGEMENT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 66962

Sponsor's CRD Number (if any):
129376

Name of Wrap Fee Program
CALTON & ASSOCIATES, INC. WRAP PROGRAM

Name of Sponsor
CALTON & ASSOCIATES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 70036

Sponsor's CRD Number (if any):
20999

Name of Wrap Fee Program
CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC. WRAP PROGRAM

Name of Sponsor
CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 63930

Sponsor's CRD Number (if any):
134139

Name of Wrap Fee Program
CASTLE WEALTH MANAGEMENT WRAP PROGRAM

Name of Sponsor
CASTLE WEALTH MANAGEMENT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 60871

Sponsor's CRD Number (if any):
118364

Name of Wrap Fee Program
CBIZ INVESTMENT ADVISORY SERVICES, LLC WRAP PROGRAM

Name of Sponsor
CBIZ INVESTMENT ADVISORY SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 108996

Sponsor's CRD Number (if any):
286002

Name of Wrap Fee Program

Name of *Sponsor*

KITSMAN INVESTMENT MANAGEMENT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

-

Sponsor's CRD Number (if any):

288035

Name of *Wrap Fee Program*

CENTAURUS FINANCIAL INC WRAP PROGRAM

Name of *Sponsor*

CENTAURUS FINANCIAL, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 56882

Sponsor's CRD Number (if any):

30833

Name of *Wrap Fee Program*

CETERA INVESTMENT ADVISERS LLC WRAP PROGRAM

Name of *Sponsor*

CETERA INVESTMENT ADVISERS LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 20406

Sponsor's CRD Number (if any):

105644

Name of *Wrap Fee Program*

CETERA WEALTH SERVICES, LLC WRAP PROGRAM

Name of *Sponsor*

CETERA WEALTH SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

8 - 29577

Sponsor's CRD Number (if any):

13572

Name of *Wrap Fee Program*

CHILTON CAPITAL MANAGEMENT LLC WRAP PROGRAM

Name of *Sponsor*

CHILTON CAPITAL MANAGEMENT LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 51061

Sponsor's CRD Number (if any):

104592

Name of Wrap Fee Program

CL WEALTH MANAGEMENT, LLC WRAP PROGRAM

Name of Sponsor

CL WEALTH MANAGEMENT LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 72701

Sponsor's CRD Number (if any):

134922

Name of Wrap Fee Program

CLEARSTEAD ADVISORS, LLC WRAP PROGRAM

Name of Sponsor

CLEARSTEAD; CLEARSTEAD ADVISORY SOLUTIONS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 33554

Sponsor's CRD Number (if any):

105674

Name of Wrap Fee Program

COLLIERS SECURITIES LLC WRAP PROGRAM

Name of Sponsor

COLLIERS SECURITIES LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 80233

Sponsor's CRD Number (if any):

7477

Name of Wrap Fee Program

COMERICA WEALTH MANAGEMENT WRAP PROGRAM

Name of Sponsor

AMERIPRISE FINANCIAL SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 28543

Sponsor's CRD Number (if any):

6363

Name of Wrap Fee Program

COMMERCE HORIZONS WRAP PROGRAM

Name of Sponsor

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

8 - 35096

Sponsor's CRD Number (if any):

17140

Name of Wrap Fee Program

COMMERCE TRUST CO. WRAP PROGRAM

Name of Sponsor

COMMERCE BROKERAGE SERVICES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

8 - 35096

Sponsor's CRD Number (if any):

17140

Name of Wrap Fee Program

COMMONWEALTH FINANCIAL NETWORK WRAP PROGRAM

Name of Sponsor

COMMONWEALTH FINANCIAL NETWORK

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 41541

Sponsor's CRD Number (if any):

8032

Name of Wrap Fee Program

CONCORDE ASSET MANAGEMENT, LLC WRAP PROGRAM

Name of Sponsor

CONCORDE ASSET MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 74519

Sponsor's CRD Number (if any):

140367

Name of Wrap Fee Program

CREDIT UNION INVESTMENT SERVICES, INC. WRAP PROGRAM

Name of Sponsor

CREDIT UNION INVESTMENT SERVICES

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

-

Sponsor's CRD Number (if any):

144871

Name of *Wrap Fee Program*
CRESSET ASSET MANAGEMENT, LLC WRAP PROGRAM

Name of *Sponsor*
CRESSET ASSET MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 110753

Sponsor's CRD Number (if any):
288566

Name of *Wrap Fee Program*
CROWELL, WEEDON & CO. WRAP PROGRAM

Name of *Sponsor*
D.A. DAVIDSON & CO.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 45761

Sponsor's CRD Number (if any):
199

Name of *Wrap Fee Program*
D.A. DAVIDSON & CO. WRAP PROGRAM

Name of *Sponsor*
D.A. DAVIDSON & CO.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 45761

Sponsor's CRD Number (if any):
199

Name of *Wrap Fee Program*
DEGROOTE FINANCIAL GROUP, LLC WRAP PROGRAM

Name of *Sponsor*
DE GROOTE FINANCIAL GROUP, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 78358

Sponsor's CRD Number (if any):
168178

Name of *Wrap Fee Program*
DIVERSIFY ADVISORY SERVICES, LLC WRAP PROGRAM

Name of *Sponsor*
DIVERSIFY ADVISORY SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 128675

Sponsor's CRD Number (if any):
326060

Name of Wrap Fee Program
EAGLE STRATEGIES LLC WRAP PROGRAM

Name of Sponsor
EP WEALTH ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 29358

Sponsor's CRD Number (if any):
111147

Name of Wrap Fee Program
EP WEALTH ADVISORS, LLC WRAP PROGRAM

Name of Sponsor
EP WEALTH ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 29358

Sponsor's CRD Number (if any):
111147

Name of Wrap Fee Program
FINANCIAL PLANNING FIRST WRAP PROGRAM

Name of Sponsor
FINANCIAL PLANNING FIRST, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 134756

Sponsor's CRD Number (if any):
319273

Name of Wrap Fee Program
FIRST CITIZENS WRAP PROGRAM

Name of Sponsor
FIRST CITIZENS INVESTOR SERVICES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 57302

Sponsor's CRD Number (if any):
44430

Name of Wrap Fee Program
FIRST COMMAND WRAP PROGRAM

Name of *Sponsor*
FIRST COMMAND ADVISORY SERVICES

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 56942

Sponsor's CRD Number (if any):
281958

Name of *Wrap Fee Program*
GFS WRAP PROGRAM

Name of *Sponsor*
GFS ADVISORS LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 67899

Sponsor's CRD Number (if any):
143110

Name of *Wrap Fee Program*
GLADSTONE INSTITUTIONAL ADVISORY LLC WRAP PROGRAM

Name of *Sponsor*
GLADSTONE WEALTH PARTNERS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 101532

Sponsor's CRD Number (if any):
250787

Name of *Wrap Fee Program*
GOLDMAN SACHS AYCO'S WRAP PROGRAM

Name of *Sponsor*
GOLDMAN SACHS WEALTH SERVICES, L.P.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 48238

Sponsor's CRD Number (if any):
106693

Name of *Wrap Fee Program*
HARBOR INVESTMENT ADVISORY WRAP PROGRAM

Name of *Sponsor*
HARBOR INVESTMENT ADVISORY, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 70893

Sponsor's CRD Number (if any):

Name of Wrap Fee Program

HERBERT J. SIMS CAPITAL MANAGEMENT, INC. WRAP PROGRAM

Name of Sponsor

HERBERT J. SIMS CAPITAL MANAGEMENT, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 124853

Sponsor's CRD Number (if any):

134510

Name of Wrap Fee Program

HERITAGE WEALTH MANAGEMENT WRAP PROGRAM

Name of Sponsor

HERITAGE WEALTH MANAGEMENT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 107506

Sponsor's CRD Number (if any):

122394

Name of Wrap Fee Program

HIBERNIA WEALTH PARTNERS, LLC WRAP PROGRAM

Name of Sponsor

HIBERNIA WEALTH PARTNERS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 124947

Sponsor's CRD Number (if any):

319509

Name of Wrap Fee Program

HIGHTOWER ADVISORS WRAP PROGRAM

Name of Sponsor

HIGHTOWER ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 69625

Sponsor's CRD Number (if any):

145323

Name of Wrap Fee Program

HILLTOP SECURITIES INC. WRAP PROGRAM

Name of Sponsor

HILLTOP SECURITIES INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 55529

Sponsor's CRD Number (if any):

6220

Name of Wrap Fee Program

HORNOR, TOWNSEND AND KENT WRAP PROGRAM

Name of Sponsor

HORNOR, TOWNSEND & KENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 56151

Sponsor's CRD Number (if any):

4031

Name of Wrap Fee Program

HUNTINGTON FINANCIAL ADVISORS WRAP PROGRAM

Name of Sponsor

HUNTINGTON FINANCIAL ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 58015

Sponsor's CRD Number (if any):

16986

Name of Wrap Fee Program

IHT WEALTH MANAGEMENT WRAP PROGRAM

Name of Sponsor

IHT WEALTH MANAGEMENT LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 79769

Sponsor's CRD Number (if any):

171481

Name of Wrap Fee Program

INDEPENDENT FINANCIAL GROUP, LLC WRAP PROGRAM

Name of Sponsor

INDEPENDENT FINANCIAL GROUP, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 62667

Sponsor's CRD Number (if any):

7717

Name of *Wrap Fee Program*
INFINITY FINANCIAL SERVICES ADVISORY WRAP PROGRAM

Name of *Sponsor*
INFINITY FINANCIAL SERVICES ADVISORY

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 117719

Sponsor's CRD Number (if any):
304981

Name of *Wrap Fee Program*
INTEGRATED ADVISORS NETWORK LLC WRAP PROGRAM

Name of *Sponsor*
INTEGRATED ADVISORS NETWORK LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 96203

Sponsor's CRD Number (if any):
171991

Name of *Wrap Fee Program*
JOHN HANCOCK PERSONAL FINANCIAL SERVICES, LLC WRAP PROGRAM

Name of *Sponsor*
JOHN HANCOCK PERSONAL FINANCIAL SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 80927

Sponsor's CRD Number (if any):
174433

Name of *Wrap Fee Program*
JP MORGAN WEALTH MANAGEMENT WRAP PROGRAM

Name of *Sponsor*
J.P. MORGAN SECURITIES LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 3702

Sponsor's CRD Number (if any):
79

Name of *Wrap Fee Program*
JRL CAPITAL ADVISORS, LLC WRAP PROGRAM

Name of *Sponsor*
JRL CAPITAL ADVISORS LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 57158

Sponsor's CRD Number (if any):

108162

Name of Wrap Fee Program

KESTRA ADVISORY SERVICES, LLC WRAP PROGRAM

Name of Sponsor

KESTRA ADVISORY SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 56126

Sponsor's CRD Number (if any):

283330

Name of Wrap Fee Program

KESTRA PRIVATE WEALTH SERVICES - IWS WRAP PROGRAM

Name of Sponsor

KESTRA PRIVATE WEALTH SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 71936

Sponsor's CRD Number (if any):

155193

Name of Wrap Fee Program

LINCOLN INVESTMENT PLANNING, LLC WRAP PROGRAM

Name of Sponsor

LINCOLN INVESTMENT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 14059

Sponsor's CRD Number (if any):

519

Name of Wrap Fee Program

LOCKERMAN FINANCIAL GROUP, INC WRAP PROGRAM

Name of Sponsor

LOCKERMAN FINANCIAL GROUP, INC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 122651

Sponsor's CRD Number (if any):

316860

Name of Wrap Fee Program

M HOLDINGS SECURITIES, INC. WRAP PROGRAM

Name of *Sponsor*

M HOLDINGS SECURITIES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 57304

Sponsor's CRD Number (if any):

43285

Name of *Wrap Fee Program*

MML INVESTORS SERVICES, LLC WRAP PROGRAM

Name of *Sponsor*

MML INVESTORS SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 44264

Sponsor's CRD Number (if any):

10409

Name of *Wrap Fee Program*

NAVY FEDERAL INVESTMENT SERVICES, LLC WRAP PROGRAM

Name of *Sponsor*

NAVY FEDERAL INVESTMENT SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 68067

Sponsor's CRD Number (if any):

138459

Name of *Wrap Fee Program*

NEUBERGER BERMAN INVESTMENT ADVISERS LLC WRAP PROGRAM

Name of *Sponsor*

NEUBERGER BERMAN INVESTMENT ADVISERS LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 61757

Sponsor's CRD Number (if any):

124687

Name of *Wrap Fee Program*

NEXT FINANCIAL GROUP, INC. WRAP PROGRAM

Name of *Sponsor*

NEXT FINANCIAL GROUP, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 56786

Sponsor's CRD Number (if any):

46214

Name of *Wrap Fee Program*
NICOLET WEALTH MANAGEMENT WRAP PROGRAM

Name of *Sponsor*
NICOLET WEALTH MANAGEMENT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 108012

Sponsor's CRD Number (if any):
283940

Name of *Wrap Fee Program*
NORTHWESTERN MUTUAL - UMP WRAP PROGRAM

Name of *Sponsor*
NORTHWESTERN MUTUAL INVESTMENT MANAGEMENT COMPANY, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 119948

Sponsor's CRD Number (if any):
307865

Name of *Wrap Fee Program*
ONEAMERICA SECURITIES, INC, WRAP PROGRAM

Name of *Sponsor*
ONEAMERICA SECURITIES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 56819

Sponsor's CRD Number (if any):
4173

Name of *Wrap Fee Program*
ORG PARTNERS LLC WRAP PROGRAM

Name of *Sponsor*
ASCENTIS INDEPENDENT ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 126441

Sponsor's CRD Number (if any):
322879

Name of *Wrap Fee Program*
OSAIC ADVISORY SERVICES WRAP PROGRAM

Name of *Sponsor*
OSAIC ADVISORY SERVICES, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 80075

Sponsor's CRD Number (if any):
171070

Name of Wrap Fee Program
OSAIC INSTITUTIONS, INC. WRAP PROGRAM

Name of Sponsor
OSAIC INSTITUTIONS, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 67242

Sponsor's CRD Number (if any):
35371

Name of Wrap Fee Program
OSAIC WEALTH, INC WRAP PROGRAM

Name of Sponsor
OSAIC WEALTH, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 54859

Sponsor's CRD Number (if any):
23131

Name of Wrap Fee Program
PACKERLAND BROKERAGE SERVICES INC WRAP PROGRAM

Name of Sponsor
PACKERLAND BROKERAGE SERVICES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 74927

Sponsor's CRD Number (if any):
37031

Name of Wrap Fee Program
PARK AVENUE SECURITIES LLC WRAP PROGRAM

Name of Sponsor
PARK AVENUE SECURITIES LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 58108

Sponsor's CRD Number (if any):
46173

Name of Wrap Fee Program

PARK PLACE CAPITAL WRAP PROGRAM

Name of *Sponsor*

PARK PLACE CAPITAL CORPORATION

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 32593

Sponsor's CRD Number (if any):

107952

Name of *Wrap Fee Program*

PENSIONMARK FINANCIAL GROUP, LLC WRAP PROGRAM

Name of *Sponsor*

WORLD INVESTMENT ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 96193

Sponsor's CRD Number (if any):

208512

Name of *Wrap Fee Program*

PERIGON WEALTH MANAGEMENT, LLC WRAP PROGRAM

Name of *Sponsor*

PERIGON WEALTH MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 62988

Sponsor's CRD Number (if any):

131037

Name of *Wrap Fee Program*

PRIVATE ADVISOR GROUP WRAP PROGRAM

Name of *Sponsor*

PRIVATE ADVISOR GROUP, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 72060

Sponsor's CRD Number (if any):

155216

Name of *Wrap Fee Program*

RBC CORRESPONDENT SERVICES WRAP PROGRAM

Name of *Sponsor*

RBC CAPITAL MARKETS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 13059

Sponsor's CRD Number (if any): 31194
Name of <i>Wrap Fee Program</i> RBC US WEALTH MANAGEMENT WRAP PROGRAM Name of <i>Sponsor</i> RBC PRIVATE COUNSEL (USA) INC. Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): 801 - 55491 Sponsor's CRD Number (if any): 109648
Name of <i>Wrap Fee Program</i> REALTA WEALTH WRAP PROGRAM Name of <i>Sponsor</i> REALTA INVESTMENT ADVISORS, INC Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): 801 - 68000 Sponsor's CRD Number (if any): 134952
Name of <i>Wrap Fee Program</i> REGAL INVESTMENT ADVISORS, LLC WRAP PROGRAM Name of <i>Sponsor</i> REGAL INVESTMENT ADVISORS LLC Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): 801 - 71923 Sponsor's CRD Number (if any): 125004
Name of <i>Wrap Fee Program</i> ROCKEFELLER CAPITAL MANAGEMENT WRAP PROGRAM Name of <i>Sponsor</i> ROCKEFELLER CAPITAL MANAGEMENT Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): 801 - 114033 Sponsor's CRD Number (if any): 291361
Name of <i>Wrap Fee Program</i> S SQUARED RETIREMENT SOLUTIONS, LLC WRAP PROGRAM Name of <i>Sponsor</i>

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

-

Sponsor's CRD Number (if any):

173297

Name of Wrap Fee Program

SEMUS WEALTH PARTNERS WRAP PROGRAM

Name of Sponsor

SEMUS WEALTH PARTNERS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 117570

Sponsor's CRD Number (if any):

305758

Name of Wrap Fee Program

SENTRY ADVISORS LLC WRAP PROGRAM

Name of Sponsor

SENTRY ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 80730

Sponsor's CRD Number (if any):

174042

Name of Wrap Fee Program

SIEBERT ADVISORNXT, INC. WRAP PROGRAM

Name of Sponsor

SIEBERT ADVISORNXT, LLC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 110718

Sponsor's CRD Number (if any):

288572

Name of Wrap Fee Program

SIGMA PLANNING CORPORATION WRAP PROGRAM

Name of Sponsor

SPC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 20404

Sponsor's CRD Number (if any):

110692

Name of *Wrap Fee Program*
SNOWDEN CAPITAL ADVISORS LLC WRAP PROGRAM

Name of *Sponsor*
SNOWDEN CAPITAL ADVISORS LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 72332

Sponsor's CRD Number (if any):
157299

Name of *Wrap Fee Program*
SPIRE WEALTH MANAGEMENT, LLC WRAP PROGRAM

Name of *Sponsor*
SPIRE WEALTH MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 60468

Sponsor's CRD Number (if any):
113908

Name of *Wrap Fee Program*
SRS CAPITAL ADVISORS INC. WRAP PROGRAM

Name of *Sponsor*
ARAX ADVISORY PARTNERS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 67165

Sponsor's CRD Number (if any):
133535

Name of *Wrap Fee Program*
STATETRUST CAPITAL LLC WRAP PROGRAM

Name of *Sponsor*
STATETRUST CAPITAL, LLC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 60478

Sponsor's CRD Number (if any):
114052

Name of *Wrap Fee Program*
STONECREST ADVISORS WRAP PROGRAM

Name of *Sponsor*
STONECREST ADVISORS, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 128386

Sponsor's CRD Number (if any):
142095

Name of Wrap Fee Program
SUMMIT WEALTH GROUP WRAP PROGRAM

Name of Sponsor
SUMMIT WEALTH GROUP

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 132262

Sponsor's CRD Number (if any):
335242

Name of Wrap Fee Program
SWS PARTNERS WRAP PROGRAM

Name of Sponsor
SWS PARTNERS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 107254

Sponsor's CRD Number (if any):
281838

Name of Wrap Fee Program
SYNOVUS SECURITIES, INC. WRAP PROGRAM

Name of Sponsor
SYNOVUS SECURITIES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 19690

Sponsor's CRD Number (if any):
14023

Name of Wrap Fee Program
TD WEALTH WRAP PROGRAM

Name of Sponsor
TD PRIVATE CLIENT WEALTH LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 77771

Sponsor's CRD Number (if any):
164484

Name of Wrap Fee Program
TEPLITZ FINANCIAL GROUP LLC WRAP PROGRAM

Name of *Sponsor*
TEPLITZ FINANCIAL GROUP LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 126103

Sponsor's CRD Number (if any):
122038

Name of *Wrap Fee Program*
THE BALDWIN GROUP WRAP PROGRAM

Name of *Sponsor*
THE BALDWIN GROUP WEALTH ADVISORS, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 120404

Sponsor's CRD Number (if any):
312284

Name of *Wrap Fee Program*
THE PINES WEALTH MANAGEMENT, LLC WRAP PROGRAM

Name of *Sponsor*
THE PINES WEALTH MANAGEMENT, LLC

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 129712

Sponsor's CRD Number (if any):
326353

Name of *Wrap Fee Program*
THRIVENT INVESTMENT MANAGEMENT INC. WRAP FEE PROGRAM

Name of *Sponsor*
THRIVENT INVESTMENT MANAGEMENT INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 29618

Sponsor's CRD Number (if any):
18387

Name of *Wrap Fee Program*
TRUE VISION FINANCIAL ADVISORS WRAP PROGRAM

Name of *Sponsor*
TRUE VISION FINANCIAL ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 126424

Sponsor's CRD Number (if any):

Name of Wrap Fee Program

TRUIST ADVISORY SERVICES WRAP PROGRAM

Name of Sponsor

TRUIST ADVISORY SERVICES, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 107729

Sponsor's CRD Number (if any):

283390

Name of Wrap Fee Program

UNITED CAPITAL FINANCIAL ADVISORS WRAP PROGRAM

Name of Sponsor

UNITED CAPITAL FINANCIAL ADVISORS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 64376

Sponsor's CRD Number (if any):

134600

Name of Wrap Fee Program

VALIC FINANCIAL ADVISORS, INC. WRAP PROGRAM

Name of Sponsor

VALIC FINANCIAL ADVISORS, INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 54952

Sponsor's CRD Number (if any):

42803

Name of Wrap Fee Program

VISION2020 ADVISOR MANAGED PORTFOLIOS WRAP

Name of Sponsor

VISION2020 WEALTH MANAGEMENT CORP.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 71541

Sponsor's CRD Number (if any):

154149

Name of Wrap Fee Program

WEALTHSHIELD PARTNERS, LLC. WRAP PROGRAM

Name of Sponsor

WEALTHSHIELD PARTNERS, LLC

801 - 78937

169584

WEDBUSH SECURITIES WRAP PROGRAM

WEDBUSH SECURITIES INC.

801 - 6358

877

WILLIAM BLAIR & COMPANY, LLC WRAP PROGRAM

WILLIAM BLAIR & COMPANY L.L.C.

801 - 688

1252

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	23 %	23 %
(ii) Non Exchange-Traded Equity Securities	0 %	0 %
(iii) U.S. Government/Agency Bonds	1 %	1 %
(iv) U.S. State and Local Bonds	2 %	2 %
(v) <i>Sovereign Bonds</i>	0 %	0 %
(vi) Investment Grade Corporate Bonds	1 %	1 %
(vii) Non-Investment Grade Corporate Bonds	0 %	0 %

(viii) Derivatives	0 %	0 %
(ix) Securities Issued by Registered Investment Companies or Business Development Companies	70 %	70 %
(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	0 %	0 %
(xi) Cash and Cash Equivalents	3 %	3 %
(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) Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10 %	\$	\$	%	%	%	%	%	%
10 -149 %	\$	\$	%	%	%	%	%	%

150 % or more	\$	\$	%	%	%	%	%	%
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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) Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
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) Borrowings
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:
NATIONAL FINANCIAL SERVICES LLC

(b)

Primary business name of custodian:
NATIONAL FINANCIAL SERVICES LLC

(c)

The location(s) of the custodian's office(s) responsible for *custody* of the assets :

City:
BOSTON

State:
Massachusetts

Country:
United States

Yes No

(d)

Is the custodian a *related person* of your firm?

☐ ☒

(e)

If the custodian is a broker-dealer, provide its SEC registration number (if any)
8 - 26740

(f)

If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)

(g)

What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?

\$ 324,253,488,303

(a)	Legal name of custodian: PERSHING LLC		
(b)	Primary business name of custodian: PERSHING LLC		
(c)	The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :		
	City: JERSEY CITY	State: New Jersey	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 - 17574		
(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? \$ 117,516,933,113		

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): INVESTMENT RESEARCH/PORTFOLIO MANAGEMENT SOFTWARE

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 *clients*? ☒ ☐

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 *client*. You may omit products and services that you listed in Section 6.B.(2) above.
ADVISORY TECHNOLOGY PLATFORM, RECONCILIATION SERVICES, INVESTMENT RESEARCH REPORTS, ACCOUNT AGGREGATION, PORTFOLIO MANAGEMENT SOFTWARE, BILLING SERVICES AND PERFORMANCE CALCULATIONS.

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*:
ENVESTNET SECURITIES, INC.
2.

Primary Business Name of *Related Person*:
ENVESTNET SECURITIES, INC.
3.

Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
8 - 71093

or

Other
4.

Related Person's

(a)

CRD Number (if any):
325803

(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

6. Do you *control* or are you *controlled* by the *related person*?

Yes

No

7. Are you and the *related person* under common *control*?

Yes

No

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

Yes

No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?

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: ☐

9. (a) If the *related person* is an investment adviser, is it exempt from registration?

Yes

No

(b) If the answer is yes, under what exemption?

Yes

No

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?

Yes

No

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

No Information Filed

11. Do you and the *related person* share any *supervised persons*?

Yes

No

12. Do you and the *related person* share the same physical location?

Yes

No

1. Legal Name of *Related Person*:

FIDX GROUP LLC

2. Primary Business Name of *Related Person*:

FIDX GROUP 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
6.	Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?		☐	☒
7.	Are you and the <i>related person</i> under common <i>control</i> ?		☒	☐
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?		☐	☒
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		☐	☐
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
	Number and Street 1:		Number and Street 2:	
	City:		State:	Country:
	If this address is a private residence, check this box: ☐		ZIP+4/Postal Code:	
			Yes	No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		☐	☐
	(b) If the answer is yes, under what exemption?			
10.	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?		☐	☒
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.			
	No Information Filed			
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?		☐	☒
12.	Do you and the <i>related person</i> share the same physical location?		☐	☒

1.	Legal Name of <i>Related Person</i> :	FIDX MARKETS LLC
2.	Primary Business Name of <i>Related Person</i> :	FIDX MARKETS LLC
3.	<i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	8 - 70981
		or
		Other
4.	<i>Related Person's</i>	
	(a) <i>CRD</i> Number (if any):	322769
	(b) CIK Number(s) (if any):	No Information Filed
5.	<i>Related Person</i> 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

- Yes No



assets:

Number and Street 2:

State:

Country:

ZIP+4/Postal Code:

Yes No



d.

No Information Filed



ENVESTNET RETIREMENT SOLUTIONS, LLC

ENVESTNET RETIREMENT SOLUTIONS, LLC

801 - 79855

or

Other

(a) CRD Number (if any):

171570

No Information Filed

(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer

(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

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*? ☐ Yes ☒ No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*? ☐ 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: ☐

9. (a) If the *related person* is an investment adviser, is it exempt from registration? ☐ Yes ☒ No

(b) If the answer is yes, under what exemption? _____

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ? ☐ Yes ☒ No

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered. _____
No Information Filed

11. Do you and the *related person* share any *supervised persons*? ☒ Yes ☐ No

12. Do you and the *related person* share the same physical location? ☒ Yes ☐ No

[illegible]

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: ☐			

9.

(a) If the *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10.

(a) Is the *related person* registered with a *foreign financial regulatory authority* ?

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

No Information Filed

11.

Do you and the *related person* share any *supervised persons*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

FDX ADVISORS, INC.

2.

Primary Business Name of *Related Person*:

FDX ADVISORS, INC.

3.

Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

801 - 29775

or

Other

4.

Related Person's

(a) *CRD* Number (if any):

104601

(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

6.

Do you *control* or are you *controlled* by the *related person*?

7.

Are you and the *related person* under common *control*?

8.

(a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?

(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: ☐

9.

(a) If the *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

No Information Filed

11. Do you and the *related person* share any *supervised persons*?

12. Do you and the *related person* share the same physical location?

1. Legal Name of *Related Person*:
QRG CAPITAL MANAGEMENT, INC.

2. Primary Business Name of *Related Person*:
QRG CAPITAL MANAGEMENT, INC.

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801 - 118081
or
Other

4. *Related Person's*

(a) *CRD* Number (if any):
305277

(b) CIK Number(s) (if any):

CIK Number
1996454

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

6. Do you *control* or are you *controlled* by the *related person*?

7. Are you and the *related person* under common *control*?

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?

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

Number and Street 2:Country:ZIP+4/Postal Code:

9. (a) If the *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

No Information Filed

11. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	☒	☐
12. Do you and the <i>related person</i> share the same physical location?	☐	☐

Item 7 <i>Private Fund</i> Reporting		
	Yes	No
B. Are you an adviser to any <i>private fund</i> ?	☐	☒
<i>If "yes," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the next sentence and in Instruction 6 of the Instructions to Part 1A. If you are registered or applying for registration with the SEC or reporting as an SEC exempt reporting adviser, and another SEC-registered adviser or SEC exempt reporting adviser reports this information with respect to any such private fund in Section 7.B.(1) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B.(1) of Schedule D with respect to that private fund. You must, instead, complete Section 7.B.(2) of Schedule D.</i> <i>In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetical code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's name.</i>		

SECTION 7.B.(1) <i>Private Fund</i> Reporting
No Information Filed

SECTION 7.B.(2) <i>Private Fund</i> Reporting
No Information Filed

Item 8 Participation or Interest in <i>Client</i> Transactions		
In this Item, we request information about your participation and interest in your <i>clients'</i> transactions. This information identifies additional areas in which conflicts of interest may occur between you and your <i>clients</i>. Newly-formed advisers should base responses to these questions on the types of participation and interest that you expect to engage in during the next year. Like Item 7, Item 8 requires you to provide information about you and your <i>related persons</i>, including foreign affiliates.		
Proprietary Interest in <i>Client</i> Transactions		
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 *related persons*?

G.

(1)

Do you or any *related person* receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with *client* securities transactions?

(2)

If "yes" to G.(1) above, are all the "soft dollar benefits" you or any *related persons* receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?

H.

(1)

Do you or any *related person*, directly or indirectly, compensate any *person* that is not an *employee* for *client* referrals?

(2)

Do you or any *related person*, directly or indirectly, provide any *employee* compensation that is specifically related to obtaining *clients* for the firm (cash or non-cash compensation in addition to the *employee's* regular salary)?

I.

Do you or any *related person*, including any *employee*, directly or indirectly, receive compensation from any *person* (other than you or any *related person*) for *client* 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 *related person* has *custody* of *client* (other than *clients* that are investment companies registered under the Investment Company Act of 1940) assets and about your custodial practices.

A.

(1)

Do you have *custody* of any advisory *clients'*:

(a)

cash or bank accounts?

(b)

securities?

Yes

No

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 *client* funds and securities and total number of *clients* for which you have *custody*:

U.S. Dollar Amount

(a) \$ 50,346,967,451

Total Number of *Clients*

(b) 108,240

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) \$ 0

Total Number of *Clients*

(b) 0

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 <i>related person(s)</i> act as qualified custodians for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ? | Yes No |
| | (1) you act as a qualified custodian | ☐ ☒ |
| | (2) your <i>related person(s)</i> act as qualified custodian(s) | ☐ ☒ |

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 <i>annual updating amendment</i> and you were subject to a surprise examination by an <i>independent public accountant</i> during your last fiscal year, provide the date (MM/YYYY) the examination commenced:

F.	If you or your <i>related persons</i> have <i>custody</i> of <i>client</i> funds or securities, how many <i>persons</i> , including, but not limited to, you and your <i>related persons</i> , act as qualified custodians for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?

SECTION 9.C. <i>Independent Public Accountant</i>	
No Information Filed	

Item 10 Control Persons	
In this Item, we ask you to identify every <i>person</i> that, directly or indirectly, <i>controls</i> you. If you are filing an <i>umbrella registration</i> , the information in Item 10 should be provided for the <i>filing adviser</i> 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.	
	Yes No
A. Does any <i>person</i> not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, <i>control</i> your management or policies?	☐ Yes ☒ No
<i>If yes, complete Section 10.A. of Schedule D.</i>	
B. If any <i>person</i> 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. <i>Control Person</i> 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.

Do any of the events below involve you or any of your <i>supervised persons</i> ?		Yes	No
		☐	☒
<u>For "yes" answers to the following questions, complete a Criminal Action DRP:</u>			
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> ?	☐	☒
<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.</i>			
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)?	☐	☒
<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.B.(2) to charges that are currently pending.</i>			
<u>For "yes" answers to the following questions, complete a Regulatory Action DRP:</u>			
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.?	☐	☒
<u>For "yes" answers to the following questions, complete a Civil Judicial Action DRP:</u>			
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)?	☐	☒

O'BRIEN, SHELLY, S	I	CORPORATE SECRETARY	09/2025	NA	Y	N	4520223
DEVOE, DEBRA, JANE	I	CHIEF COMPLIANCE OFFICER	01/2014	NA	N	N	2372586
D'AURIA, DANA, MARIE	I	CO-CIO	09/2020	NA	Y	N	5870286
TODD, CHRISTOPHER, RUSSELL	I	CHIEF EXECUTIVE OFFICER	02/2025	NA	Y	N	2275948
EVANS, KATHRYN, MICHELE	I	CHIEF OPERATIONS OFFICER	01/2025	NA	Y	N	2788543
Hofmann, John	I	CHIEF FINANCIAL OFFICER	09/2025	NA	Y	N	8168130

Schedule B

Indirect Owners

- 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.
- Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
 - 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.

 - 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;
 - in the case of an owner that is a trust, the trust and each trustee; and
 - 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.
- 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.
- 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.
- 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).
- 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)
- 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*.
 - In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
 - Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	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.
BAIN CAPITAL FUND XIII, L.P.	DE	BCPE PEQUOD INVESTOR, LP	OWNER	11/2024	C	N	N	
BCPE PEQUOD BUYER, INC.	DE	ENVESTNET, INC.	OWNER	11/2024	E	Y	N	
BCPE PEQUOD INTERMEDIATE, LLC	DE	BCPE PEQUOD BUYER, INC.	OWNER	11/2024	E	Y	N	
BCPE PEQUOD INVESTOR, LP	DE	BCPE PEQUOD TOPCO, LP	OWNER	11/2024	D	Y	N	
BCPE PEQUOD PARENT , INC.	DE	BCPE PEQUOD INTERMEDIATE, LLC	OWNER	11/2024	E	Y	N	
BCPE PEQUOD TOPCO, LP	DE	BCPE PEQUOD PARENT , INC.	OWNER	11/2024	E	Y	N	

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

SECTION 5.I.(2) - WRAP FEE PROGRAMS -FOR A LIST OF CLIENTS/SPONSORS UNDER THE PRIVATE WEALTH MANAGEMENT PROGRAM PLEASE CONTACT ENVESTNET. SECTION 5.D. - TYPE OF CLIENTS -ENVESTNET PROVIDES TECHNOLOGY AND SUB-ADVISORY SERVICES TO UNAFFILIATED RIAs AND OTHER WEALTH MANAGEMENT INSTITUTIONS ("INSTITUTIONAL CLIENTS"). THE ACCOUNTS/CLIENTS REFERENCED IN RESPONSE TO THIS ITEM ARE THE RETAIL CLIENTS OF THE INSTITUTIONAL CLIENTS OF ENVESTNET. Section 7A - Envestnet maintains a supplementary list of additional Related Persons who are not

listed in section 7.A of Schedule D which is available upon request. We have no business dealings with these other Related Persons in connection with the advisory services we provide to our clients; we do not conduct shared operations with these Related Persons; we do not refer clients or business to these Related Persons nor do they refer prospective clients or business to us; we do not share supervised persons or premises with these Related Persons; and we have no reason to believe that our relationship with these Related Persons otherwise creates a conflict of interest with our clients. Item 9 - CUSTODY ENVESTNET MAY BE DEEMED TO HAVE CUSTODY OF CLIENT ASSETS WHERE THE TERMS OF A STANDING LETTER OF AUTHORIZATION ("SLOA") BETWEEN A CLIENT AND A QUALIFIED CUSTODIAN PERMIT ENVESTNET TO INSTRUCT THE CUSTODIAN TO DISBURSE, OR TRANSFER, FUNDS OR SECURITIES ON THE CLIENT'S BEHALF.

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)
283154	ENVESTNET ASSET MANAGEMENT ADV PART 2A	Individuals, High net worth individuals, Pension plans/profit sharing plans, Foundations/charities, Other institutional, Wrap program, Selection of Other Advisers/Solicitors
283162	ENVESTNET ASSET MANAGEMENT ADV PART 2 APPENDIX 1	Individuals, High net worth individuals, Pension plans/profit sharing plans, Foundations/charities, Other institutional, Wrap program

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:	Date: MM/DD/YYYY
DEBRA J. DEVOE	06/30/2026
Printed Name:	Title:
DEBRA J. DEVOE	CHIEF COMPLIANCE OFFICER
Adviser <i>CRD</i> Number:	
111694	

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:	

