

**Wealthspire Institutional, LLC**

500 W. Madison, Suite 3260

Chicago, IL 60661

312-853-1000

[www.wealthspire.com](http://www.wealthspire.com)

**Form ADV, Part 2B – Brochure Supplement**

Dated: March 31, 2026

Please contact the Compliance Department at the phone number above if you did not receive Wealthspire Institutional, LLC's ("Wealthspire Institutional") firm brochure or if you have any questions about the contents of any part of our Form ADV.

This brochure supplement identifies the Wealthspire Institutional employees who have the most significant responsibility for providing investment consulting advice to clients and have direct client contact, have discretionary authority over client assets, along with those who have the most significant responsibility for the firm's Investment Committee. Where applicable, we have disclosed any professional designations obtained by these individuals, and you will find brief explanations of those designations on the back page. Clients may also routinely interact with other Wealthspire Institutional employees who are not permitted by the firm to formulate investment advice for clients; however, those employees are not identified in this brochure supplement.



Item 1            Eileen F. Allgrove  
                     Windsor, CT  
Year of Birth    1972

Item 2            Education

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|                                                  |                          |
|--------------------------------------------------|--------------------------|
| BA, Allegheny College, Meadville, PA             | Year of Graduation: 1994 |
| JD, Western New England University School of Law | Year of Graduation: 1997 |
| MS, University of Hartford                       | Year of Graduation: 2000 |

Business Background

|                |                                    |                    |
|----------------|------------------------------------|--------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Senior Consultant  |
| 2017 – 2020    | Fiduciary Investment Advisors, LLC | Associate Director |

Professional Designation

Certified Financial Planner – 30 hours of Continuing Education (CE) to be completed every two years.

Certified Divorce Financial Analyst – 30 hours of divorce-related Continuing Education (CE) to be completed every two years.

Item 3            Disciplinary Information

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Eileen has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4            Other Business Activities

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Eileen is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation for compensation that provides a substantial source of her income or involves a substantial amount of her time.

Item 5            Additional Compensation

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Eileen does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6            Supervision

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Eileen is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1        Jeff D. Benoit  
                 Chicago, IL

Year of Birth    1957

Item 2        Education

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University of Pennsylvania

Year of Graduation: 1978

Business Background

2020 – Present        Wealthspire Institutional, LLC  
Consulting

Director of Taft Hartley

Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

Item 3        Disciplinary Information

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Jeff has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4        Other Business Activities

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Jeff is not actively engaged in any other investment-related business or occupation and is not engaged in any other business or occupation for compensation that provides a substantial source of his income or involves a substantial amount of his time.

Item 5        Additional Compensation

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Jeff does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6        Supervision

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Jeff is supervised by Jessica Ludwig, Managing Partner and Director of Institutional Consulting. Jessica can be reached at 312-853-1000.

Item 1            Michael S. Benoit  
                     Chicago, IL

Year of Birth    1961

Item 2            Education

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Bradley University, Peoria, IL

Year of Graduation: 1984

Business Background

2020 – Present      Wealthspire Institutional, LLC  
Consultant

Managing Partner, Senior

Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

Certified Financial Planner (CFP®) - 30 hours of Continuing Education (CE) to be completed every two years.

Item 3            Disciplinary Information

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Michael has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4            Other Business Activities

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Michael is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5            Additional Compensation

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As a Managing Partner, Michael receives an economic benefit based on the overall profitability of Wealthspire Institutional. Michael does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6            Supervision

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Michael is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1 Charles W. Boisseau  
Boston, MA  
Year of Birth 1989

Item 2 Education

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|                                          |                          |
|------------------------------------------|--------------------------|
| University of Rhode Island, Kingston, RI | Year of Graduation: 2012 |
| Georgetown University, Washington, D.C.  | Year of Graduation: 2023 |

Business Background

|                |                                |                     |
|----------------|--------------------------------|---------------------|
| 2026 – Present | Wealthspire Institutional, LLC | Senior Consultant   |
| 2023 – 2025    | Cambridge Associates           | Investment Director |
| 2014 – 2021    | Bank of America                | Portfolio Manager   |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3 Disciplinary Information

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Charles has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Charles is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

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Charles does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Charles is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1        Scott G. Boulton  
                 Windsor, CT  
Year of Birth    1988

Item 2        Education

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University of Northern Colorado, Greeley, CO        Year of Graduation: 2010

Business Background

|                |                                    |                              |
|----------------|------------------------------------|------------------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Principal, Senior Consultant |
| 2014 – 2020    | Fiduciary Investment Advisors, LLC | Consultant                   |
| 2011 – 2014    | T. Rowe Price                      | Investment Consultant        |

Professional Designation

Accredited Investment Fiduciary®

Item 3        Disciplinary Information

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Scott has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4        Other Business Activities

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Scott is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5        Additional Compensation

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Scott does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6        Supervision

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Scott is supervised by Vincent Smith, Partner, Senior Consultant, and Defined Contribution Practice Leader at Wealthspire Institutional. Vincent can be reached at 312-853-1000.

Item 1 Kevin Brady

New York, NY

Year of Birth 1989

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Item 2 Education

BS, University of Florida, Gainesville, FL

Year of Graduation: 2011

MA, University of Florida, Gainesville, FL

Year of Graduation: 2012

Business Background

2026 – Present Wealthspire Institutional, LLC Senior Vice President, Advisor

2018 – Present Wealthspire Advisors, LLC Senior Vice President, Advisor

2013 – 2018 HSBC Premier Relationship Advisor

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

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Item 3 Disciplinary Information

Kevin has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4 Other Business Activities

Kevin is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5 Additional Compensation

Kevin does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

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Item 6 Supervision

Kevin is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759.

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Item 1            Nicholas P. Breit

Chicago, IL

Year of Birth    1978

Item 2            Education

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University of Illinois, Champaign, IL

Year of Graduation: 2002

Business Background

2020 – Present      Wealthspire Institutional, LLC                      Partner, Director of  
Financial Planning Services

2014 – 2020            Fiduciary Investment Advisors, LLC                      Consultant

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be  
completed every two years

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits  
annually.

Item 3            Disciplinary Information

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Nicholas has not been involved in any legal or disciplinary events that would be material  
to a client's evaluation of him or Wealthspire Institutional.

Item 4            Other Business Activities

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Nicholas is not engaged in any other investment-related business or occupation and is  
not engaged in any other business or occupation, for compensation, that provides a  
substantial source of income or involves a substantial amount of his time.

Item 5            Additional Compensation

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As a Partner, Nicholas receives an economic benefit based on the overall profitability of  
Wealthspire Institutional. Nicholas does not receive economic benefits from any person  
or entity other than Wealthspire Institutional in connection with the provision of  
investment advice to clients.

Item 6            Supervision

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Nicholas is supervised by Chad Tischer, Director of OCIO Services, Director of  
Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be  
reached at 312-853-1000.

Item 1 Shreya Canakapalli

Miami, FL

Year of Birth 1989

Item 2 Education

Indiana University, Bloomington, IN

Year of Graduation: 2011

Business Background

2020 – Present Wealthspire Institutional, LLC Partner, Senior  
Consultant

2012 – 2020 DiMeo Schneider & Associates Consultant

Professional Designation

Chartered Financial Analyst (CFA®)

Item 3 Disciplinary Information

Shreya has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Shreya is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

Shreya does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Shreya is supervised by Jessica Ludwig, Managing Partner and Associate Director of Institutional Consulting. Jessica can be reached at 312-853-1000.

Item 1 Jeffrey J. Capone

Windsor, CT

[www.wealthspire.com](http://www.wealthspire.com)

Year of Birth 1972

Item 2 Education

Bucknell University, Lewisburg, PA

Year of Graduation: 1994

Business Background

2020 – Present      Wealthspire Institutional, LLC      Partner, Senior  
Consultant

2009 – 2020      Fiduciary Investment Advisors, LLC      Senior Consultant

Item 3 Disciplinary Information

Jeffrey has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Jeffrey is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

As a Partner, Jeffrey receives an economic benefit based on the overall profitability of Wealthspire Institutional. Jeffrey does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Jeffrey is supervised by Karen Paulson, Partner and Senior Consultant at Wealthspire Institutional. Karen can be reached at 312-853-1000.

Item 1 Richard A. Carey  
Windsor, CT

Year of Birth 1991

|               |                                                                                                                                                                                                                                                    |                                                            |
|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|
| Item 2        | Education                                                                                                                                                                                                                                          |                                                            |
|               | Syracuse University, Syracuse, NY                                                                                                                                                                                                                  | Year of Graduation: 2014                                   |
|               | <u>Business Background</u>                                                                                                                                                                                                                         |                                                            |
|               | 2020 – Present                                                                                                                                                                                                                                     | Wealthspire Institutional, LLC      Consultant             |
|               | 2015 – 2020                                                                                                                                                                                                                                        | Fiduciary Investment Advisors, LLC      Consulting Analyst |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                    |                                                            |
|               | Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.                                                                                                                                                      |                                                            |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                           |                                                            |
|               | Richard has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                             |                                                            |
| Item 4        | Other Business Activities                                                                                                                                                                                                                          |                                                            |
|               | Richard is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time. |                                                            |
| Item 5        | Additional Compensation                                                                                                                                                                                                                            |                                                            |
|               | Richard does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |                                                            |
| Item 6        | Supervision                                                                                                                                                                                                                                        |                                                            |
|               | Richard is supervised by Brian Samuels, Principal and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.                                                                                                        |                                                            |
| Item 1        | Brian P. Carlson                                                                                                                                                                                                                                   |                                                            |
|               | Chicago, IL                                                                                                                                                                                                                                        |                                                            |
| Year of Birth | 1977                                                                                                                                                                                                                                               |                                                            |
| Item 2        | Education                                                                                                                                                                                                                                          |                                                            |
|               | Northern Illinois University, Dekalb, IL                                                                                                                                                                                                           | Year of Graduation: 1999                                   |

### Business Background

2020 – Present      Wealthspire Institutional, LLC    Managing Partner, Senior Consultant  
2006 – 2020          DiMeo Schneider Associates, LLC      Consultant

### Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

#### Item 3      Disciplinary Information

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Brian has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4      Other Business Activities

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Brian is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

#### Item 5      Additional Compensation

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As a Partner, Brian receives an economic benefit based on the overall profitability of Wealthspire Institutional. Brian does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6      Supervision

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Brian is a Partner and is supervised by Anthony Traghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1      Michael J. Chase

Windsor, CT

Year of Birth    1983

#### Item 2      Education

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Colgate University, Hamilton, NY

Year of Graduation: 2006

### Business Background

2020 – Present      Wealthspire Institutional, LLC      Partner, Head of  
Endowment & Foundation and OCIO

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2009 – 2020

Fiduciary Investment Advisors, LLC

Partner, Senior Consultant

Item 3 Disciplinary Information

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Michael has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Michael is Manager for Brochu Chase Family LLC - a family LLC for private equity commitments. He does not receive compensation for his role as Manager, and this role does involve a substantial amount of his time. Michael is also a Trustee of the Covenant Preparatory School in Hartford, CT. He does not receive compensation for his role as Trustee, and this role does involve a substantial amount of his time.

Item 5 Additional Compensation

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As a Partner, Michael receives an economic benefit based on the overall profitability of Wealthspire Institutional. Michael does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Michael is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1 Christian S. Coleman  
Windsor, CT

Year of Birth 1971

Item 2 Education

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Providence College, Providence, RI

Year of Graduation: 1994

Business Background

2020 – Present Wealthspire Institutional, LLC  
Business Development

Partner, Director of

2008 – 2020

Fiduciary Investment Advisors, LLC

Consultant

Item 3 Disciplinary Information

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Chris has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Chris is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

As a Partner, Chris receives an economic benefit based on the overall profitability of Wealthspire Institutional. Chris does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Chris is supervised by Michael Goss, Managing Partner, President and Chief Revenue Officer at Wealthspire Institutional. Michael can be reached at 860-683-1187.

Item 1 Joseph S. Cortese III

Chicago, IL

Year of Birth 1979

Item 2 Education

University of Iowa, Iowa City, IA

Year of Graduation: 2002

University of Chicago Booth School of Business

Year of Graduation: 2010

Business Background

2020 – Present  
Consultant

Wealthspire Institutional, LLC

Partner, Senior

2008 – 2020

Fiduciary Investment Advisors, LLC

Consultant

Item 3 Disciplinary Information

Joseph has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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Joseph is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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As a Partner, Joseph receives an economic benefit based on the overall profitability of Wealthspire Institutional. Joseph does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Joseph is supervised by Brad Long, Managing Partner and Chief Investment Officer at Wealthspire Institutional. Brad can be reached at 312-853-1000.

Item 1      Jay Czarapata

Milwaukee, WI

Year of Birth    1977

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Item 2      Education

BBA, University of Wisconsin - Whitewater, Whitewater, WI      Year  
of Graduation: 1999

Certificate of Major in Accounting, University of Wisconsin, Milwaukee, FL  
Year of Graduation: 2003

Business Background

|                |                                |                                |
|----------------|--------------------------------|--------------------------------|
| 2026 – Present | Wealthspire Institutional, LLC | Senior Vice President, Advisor |
| 2019 – Present | Wealthspire Advisors, LLC      | Senior Vice President, Advisor |
| 2011 – 2019    | Bronfman Rothschild            | Director                       |
| 2006 – 2011    | SVA Plumb Financial            | Wealth Manager                 |

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

Chartered Retirement Plans Specialist (CRPS®) – 16 hours of Continuing Education (CE) to be completed every two years.

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|               |                                                                                                                                                                                                                                                |                                                                                      |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|
| Item 3        | Disciplinary Information                                                                                                                                                                                                                       |                                                                                      |
|               | Jay has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                             |                                                                                      |
| Item 4        | Other Business Activities                                                                                                                                                                                                                      |                                                                                      |
|               | Jay is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time. |                                                                                      |
| Item 5        | Additional Compensation                                                                                                                                                                                                                        |                                                                                      |
|               | Jay does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |                                                                                      |
| Item 6        | Supervision                                                                                                                                                                                                                                    |                                                                                      |
|               | Jay is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759.                                                                                                                                                 |                                                                                      |
| Item 1        | Joshua Daniel                                                                                                                                                                                                                                  |                                                                                      |
|               | Chicago, IL                                                                                                                                                                                                                                    |                                                                                      |
| Year of Birth | 1982                                                                                                                                                                                                                                           |                                                                                      |
| Item 2        | Education                                                                                                                                                                                                                                      |                                                                                      |
|               | California State University, Chico                                                                                                                                                                                                             | Year of Graduation: 2005                                                             |
|               | DeVry University                                                                                                                                                                                                                               | Year of Graduation: 2014                                                             |
|               | <u>Business Background</u>                                                                                                                                                                                                                     |                                                                                      |
|               | 2021 – Present                                                                                                                                                                                                                                 | Wealthspire Institutional, LLC Associate Director, Consulting Analytics - Allocation |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                       |                                                                                      |
|               | Joshua has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                          |                                                                                      |
| Item 4        | Other Business Activities                                                                                                                                                                                                                      |                                                                                      |

Joshua is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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Joshua does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Joshua is supervised by Lisa Mocerri, Institutional Chief Operating Officer. Lisa can be reached at 612-743-6611.

Item 1      Ted Dawson

Boston, MA

Year of Birth      1998

Item 2      Education

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Boston College, Chestnut Hill, MA

Year of Graduation: 2016

Business Background

|                |                                |            |
|----------------|--------------------------------|------------|
| 2022 – Present | Wealthspire Institutional, LLC | Consultant |
| 2019 – 2021    | Merrill Lynch                  | Advisor    |

Item 3      Disciplinary Information

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Ted has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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Ted is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

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Ted does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Ted is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1      Justin N. deTray

San Rafael, CA

Year of Birth      1973

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Item 2      Education

BA, Columbia University, Morningside Heights, NY

Year of Graduation: 1997

Business Background

|                |                                |                            |
|----------------|--------------------------------|----------------------------|
| 2026 – Present | Wealthspire Institutional, LLC | Managing Director, Advisor |
| 2022 – Present | Wealthspire Advisors, LLC      | Managing Director, Advisor |
| 2013 – 2021    | Private Ocean, LLC             | Advisor, Partner           |
| 2012 – 2013    | Foothill Securities, Inc.      | Proprietary Trader         |
| 2010 – 2012    | Avatar Securities, Inc.        | Proprietary Trader         |
| 2006 – 2010    | Assent, LLC                    | Proprietary Trader         |

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

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Item 3      Disciplinary Information

Justin has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4      Other Business Activities

Justin is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

Justin does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

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Item 6      Supervision

Justin is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759.

Item 1      Robert A. DiMeo  
North Palm Beach, Florida

Year of Birth      1962

Item 2      Education

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Bradley University, Peoria, IL

Year of Graduation: 1983

Business Background

2024 – Present      Wealthspire Institutional, LLC      Co-Founder, Chairman

1995 – 2020      Fiduciary Investment Advisors, LLC      Co-Founder, CEO

Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years

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Item 3      Disciplinary Information

Robert has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4      Other Business Activities

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Robert is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

Robert does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

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Item 6      Supervision

Robert is Chairman at Wealthspire Institutional, and as such, he is supervised by the firm's Executive Committee.

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Item 1      Eric Dostal

New York, NY

Year of Birth      1988

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Item 2      Education

BA, State University of New York College at Geneseo, Geneseo, NY      Year of Graduation: 2010

J.D., St. John's University School of Law, Jamaica, NY      Year of Graduation: 2013

Business Background

2026 – Present      Wealthspire Institutional, LLC      Managing Director, Advisor

2013 – Present      Wealthspire Advisors, LLC      Managing Director, Advisor

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

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Item 3      Disciplinary Information

Eric has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4      Other Business Activities

Eric is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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|        |                                                                                                                                                                          |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item 5 | Additional Compensation                                                                                                                                                  |
|        | Eric does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |

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|--------|-------------------------------------------------------------------------------------------------|
| Item 6 | Supervision                                                                                     |
|        | Eric is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759. |

|               |                   |
|---------------|-------------------|
| Item 1        | Steven C. Dufault |
|               | Chicago, IL       |
| Year of Birth | 1974              |

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|        |                                   |
|--------|-----------------------------------|
| Item 2 | Education                         |
|        | University of Iowa, Iowa City, IA |
|        | Year of Graduation: 1997          |

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Business Background

|                |                                    |                  |
|----------------|------------------------------------|------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Partner, Defined |
|                | Contribution Practice Leader       |                  |
| 1999 – 2020    | Fiduciary Investment Advisors, LLC | Consultant       |

Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

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|        |                          |
|--------|--------------------------|
| Item 3 | Disciplinary Information |
|--------|--------------------------|

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Steven has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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|        |                           |
|--------|---------------------------|
| Item 4 | Other Business Activities |
|--------|---------------------------|

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Steven is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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|        |                         |
|--------|-------------------------|
| Item 5 | Additional Compensation |
|--------|-------------------------|

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As a Partner, Steven receives an economic benefit based on the overall profitability of Wealthspire Institutional. Steven does not receive economic benefits from any person or

entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Steven is supervised by Jessica Ludwig, Managing Partner and Associate Director of Institutional Consulting. Jessica can be reached at 312-853-1000.

Item 1 Daniel Duffy  
Windsor, CT

Year of Birth 1992

Item 2 Education

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BA, Economics, University of Connecticut Storrs, CT Year of Graduation: 2015

MBA, Business Analytics and Management, University of Connecticut Year of Graduation: 2022

Business Background

|                                   |                                    |                    |
|-----------------------------------|------------------------------------|--------------------|
| 2026 – Present                    | Wealthspire Institutional, LLC     | Consultant         |
| 2024 – 2026 Analyst               | Wealthspire Institutional, LLC     | Senior Consulting  |
| 2022 – 2024 Performance Analytics | Wealthspire Institutional, LLC     | Manager of         |
| 2020 – 2022 Analyst, Team Lead    | Wealthspire Institutional, LLC     | Senior Performance |
| 2017 – 2020                       | Fiduciary Investment Advisors, LLC | Research Analyst   |

Professional Designation

Accredited Investment Fiduciary (AIF®) – Must complete a minimum of 6 hours of continuing education (CE) annually.

Item 3 Disciplinary Information

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Daniel has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Daniel is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

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Daniel does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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[www.wealthspire.com](http://www.wealthspire.com)

Daniel is supervised by Anthony Tranghese, Managing Partner, Director of Institutional Consulting at Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1 Michael P. Emerson

Chicago, IL

Year of Birth 1988

Item 2 Education

University of Chicago, Chicago, IL

Year of Graduation: 2010

#### Business Background

2020 – Present Wealthspire Institutional, LLC Partner, Senior Consultant

2016 – 2020 DiMeo Schneider Associates, LLC Consultant

Item 3 Disciplinary Information

Michael has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Michael is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

As a Partner, Michael receives an economic benefit based on the overall profitability of Wealthspire Institutional. Michael does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Michael is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1 Ahmed O. Farruk

[www.wealthspire.com](http://www.wealthspire.com)

McLean, VA  
Year of Birth 1974

Item 2 Education

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University of Virginia, Charlottesville, VA Year of Graduation: 1996

Business Background

2020 – Present Wealthspire Institutional, LLC Partner, Regional  
Director and Senior Consultant

2017 – 2020 DiMeo Schneider & Associates Consultant

Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

Item 3 Disciplinary Information

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Ahmed has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Ahmed is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

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As a Partner, Ahmed receives an economic benefit based on the overall profitability of Wealthspire Institutional. Ahmed does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Ahmed is supervised by Jessica Ludwig, Managing Partner and Associate Director of Institutional Consulting at Wealthspire Institutional. Jessica can be reached at 312-853-1000.

Item 1 Jonathon J. Fellows  
Chicago, IL

Year of Birth 1970

|               |                                                                                                                                                                                                                                                                                                   |                                                        |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| Item 2        | Education                                                                                                                                                                                                                                                                                         |                                                        |
|               | University of Michigan, Ann Arbor, MI                                                                                                                                                                                                                                                             | Year of Graduation: 1993                               |
|               | <u>Business Background</u>                                                                                                                                                                                                                                                                        |                                                        |
|               | 2020 – Present                                                                                                                                                                                                                                                                                    | Wealthspire Institutional, LLC Partner, Sr. Consultant |
|               | 2017 – 2020                                                                                                                                                                                                                                                                                       | Fiduciary Investment Advisors, LLC Consultant          |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                                                                   |                                                        |
|               | Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.                                                                                                                                                                          |                                                        |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                          |                                                        |
|               | Jonathon has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                                                                           |                                                        |
| Item 4        | Other Business Activities                                                                                                                                                                                                                                                                         |                                                        |
|               | Jonathon is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.                                               |                                                        |
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                           |                                                        |
|               | As a Partner, Jonathon receives an economic benefit based on the overall profitability of Wealthspire Institutional. Jonathon does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |                                                        |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                       |                                                        |
|               | Jonathon is supervised by Brian Carlson, Managing Partner and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.                                                                                                                                               |                                                        |
| Item 1        | Devon C. Francis                                                                                                                                                                                                                                                                                  |                                                        |
|               | Windsor, CT                                                                                                                                                                                                                                                                                       |                                                        |
| Year of Birth | 1979                                                                                                                                                                                                                                                                                              |                                                        |
| Item 2        | Education                                                                                                                                                                                                                                                                                         |                                                        |
|               | Duke University, Durham, NC                                                                                                                                                                                                                                                                       | Year of Graduation: 2001                               |
|               | <u>Business Background</u>                                                                                                                                                                                                                                                                        |                                                        |
|               | <a href="http://www.wealthspire.com">www.wealthspire.com</a>                                                                                                                                                                                                                                      |                                                        |

|                |                                    |                            |
|----------------|------------------------------------|----------------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Partner, Senior Consultant |
| 2017 – 2020    | Fiduciary Investment Advisors, LLC | Consultant                 |

#### Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

Chartered SRI Counselor (CSRIC®) – 16 hours of Continuing Education (CE) to be completed every two years.

#### Item 3      Disciplinary Information

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Devon has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4      Other Business Activities

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Devon is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

#### Item 5      Additional Compensation

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As a Partner, Devon receives an economic benefit based on the overall profitability of Wealthspire Institutional. Devon does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6      Supervision

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Devon is supervised by Karen Paulson, Partner and Senior Consultant Wealthspire Institutional. Karen can be reached at 312-853-1000.

Item 1      Matthew J. Fratini  
Windsor, CT

Year of Birth      1991

#### Item 2      Education

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|                                   |                          |
|-----------------------------------|--------------------------|
| Assumption College, Worcester, MA | Year of Graduation: 2014 |
|-----------------------------------|--------------------------|

#### Business Background

|                |                                    |                         |
|----------------|------------------------------------|-------------------------|
| 2026 – Present | Wealthspire Institutional, LLC     | Senior Consultant       |
| 2020 – 2025    | Wealthspire Institutional, LLC     | Consultant              |
| 2019 – 2020    | Fiduciary Investment Advisors, LLC | Senior Research Analyst |

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Item 3      Disciplinary Information

---

Matthew has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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Matthew is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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Matthew does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Matthew is supervised by Brian Samuels, Principal and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.

Item 1      Taylor J. Furmanski

Chicago

Year of Birth      1990

Item 2      Education

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The College of William & Mary, Williamsburg, VA

Year of Graduation: 2013

Business Background

|                |                                |                   |
|----------------|--------------------------------|-------------------|
| 2022 – Present | Wealthspire Institutional, LLC | Senior Consultant |
| 2019 – 2022    | Wealthspire Institutional, LLC | Consultant        |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

|               |                                                                                                                                                                                                                                                   |                                                                                      |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|
| Item 3        | Disciplinary Information                                                                                                                                                                                                                          |                                                                                      |
|               | Taylor has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                             |                                                                                      |
| Item 4        | Other Business Activities                                                                                                                                                                                                                         |                                                                                      |
|               | Taylor is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time. |                                                                                      |
| Item 5        | Additional Compensation                                                                                                                                                                                                                           |                                                                                      |
|               | Taylor does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |                                                                                      |
| Item 6        | Supervision                                                                                                                                                                                                                                       |                                                                                      |
|               | Taylor is supervised by Brian Carlson, Managing Partner and Senior Consultant. Brian can be reached at 312-853-1000.                                                                                                                              |                                                                                      |
| Item 1        | Ryan T. Gardner                                                                                                                                                                                                                                   |                                                                                      |
|               | Windsor, CT                                                                                                                                                                                                                                       |                                                                                      |
| Year of Birth | 1979                                                                                                                                                                                                                                              |                                                                                      |
| Item 2        | Education                                                                                                                                                                                                                                         |                                                                                      |
|               | University of Hartford, Hartford, CT                                                                                                                                                                                                              | Year of Graduation: 2001                                                             |
|               | <u>Business Background</u>                                                                                                                                                                                                                        |                                                                                      |
|               | 2020 – Present                                                                                                                                                                                                                                    | Wealthspire Institutional, LLC      Managing Partner and Senior Consultant           |
|               | 2019 – 2020                                                                                                                                                                                                                                       | Fiduciary Investment Advisors, LLC      Founder, Managing Partner, Senior Consultant |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                          |                                                                                      |
|               | Ryan has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                               |                                                                                      |
| Item 4        | Other Business Activities                                                                                                                                                                                                                         |                                                                                      |

Ryan is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

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As a Partner, Ryan receives an economic benefit based on the overall profitability of Wealthspire Institutional. Ryan does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Ryan is supervised by Karen Paulson, Partner and Senior Consultant Wealthspire Institutional. Karen can be reached at 312-853-1000.

Item 1 Laura P. Gineo  
Windsor, CT

Year of Birth 1992

Item 2 Education

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|                                     |                          |
|-------------------------------------|--------------------------|
| Northeastern University, Boston, MA | Year of Graduation: 2014 |
| University of Hartford, MBA         | Year of Graduation: 2019 |

Business Background

|                |                                    |                                                             |
|----------------|------------------------------------|-------------------------------------------------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Principal and Associate<br>Director of Consulting Analytics |
| 2013 – 2020    | Fiduciary Investment Advisors, LLC | Consultant                                                  |

Item 3 Disciplinary Information

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Laura has not been involved in any legal or disciplinary events that would be material to a client's evaluation of her or Wealthspire Institutional.

Item 4 Other Business Activities

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Laura is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provide a substantial source of income or involves a substantial amount of her time.

Item 5      Additional Compensation

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Laura does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Laura is supervised by Katie Marino, Principal and Director of Consulting Analytics (Defined Contribution). Katie can be reached at 800-260-5445.

Item 1      Guadalupe Gómez  
Chicago, IL  
Year of Birth      1993

Item 2      Education

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University of Illinois      Year of Graduation: 2016

Business Background

|                |                                   |                   |
|----------------|-----------------------------------|-------------------|
| 2024 – Present | Wealthspire Institutional, LLC    | Senior Consultant |
| 2018 – 2024    | DiMeo Schneider & Associates, LLC | Consultant        |

Professional Designation

Chartered Retirement Planning Counselor (CRPC™) – 16 hours of Continuing Education (CE) credits every two years.

Item 3      Disciplinary Information

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Guadalupe has not been involved in any legal or disciplinary events that would be material to a client’s evaluation of her or Wealthspire Institutional.

Item 4      Other Business Activities

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Guadalupe is not engaged in any other investment-related business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

|               |                                                                                                                                                                                                                                                                                                 |                                    |                          |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|--------------------------|
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                         |                                    |                          |
|               | Guadalupe does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                                                                   |                                    |                          |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                     |                                    |                          |
|               | Guadalupe is supervised by Brian Carlson, Managing Partner and Senior Consultant. Brian can be reached at 312-853-1000.                                                                                                                                                                         |                                    |                          |
| Item 1        | Michael E. Goss                                                                                                                                                                                                                                                                                 |                                    |                          |
|               | Chicago, IL                                                                                                                                                                                                                                                                                     |                                    |                          |
| Year of Birth | 1970                                                                                                                                                                                                                                                                                            |                                    |                          |
| Item 2        | Education                                                                                                                                                                                                                                                                                       |                                    |                          |
|               | Boston College, Boston, MA                                                                                                                                                                                                                                                                      |                                    | Year of Graduation: 1992 |
|               | <u>Business Background</u>                                                                                                                                                                                                                                                                      |                                    |                          |
|               | 2020 – Present                                                                                                                                                                                                                                                                                  | Wealthspire Institutional, LLC     | Managing Partner,        |
|               |                                                                                                                                                                                                                                                                                                 | President, Chief Revenue Officer   |                          |
|               | 2006 – 2020                                                                                                                                                                                                                                                                                     | Fiduciary Investment Advisors, LLC | EVP                      |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                        |                                    |                          |
|               | Michael has not been involved in any legal or disciplinary events that would be material to a client’s evaluation of him or Wealthspire Institutional.                                                                                                                                          |                                    |                          |
| Item 4        | Other Business Activities                                                                                                                                                                                                                                                                       |                                    |                          |
|               | Michael is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.                                              |                                    |                          |
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                         |                                    |                          |
|               | As a Partner, Michael receives an economic benefit based on the overall profitability of Wealthspire Institutional. Michael does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |                                    |                          |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                     |                                    |                          |

Michael is supervised by Carl Nelson, President at Wealthspire. Carl can be reached at 212-301-4036.

Item 1 Ryan Haskamp

Chicago, IL

Year of Birth 1993

Item 2 Education

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University of Minnesota, Minneapolis, MN

Year of Graduation: 2015

Business Background

2019 – Present

Wealthspire Institutional, LLC

Consultant

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3 Disciplinary Information

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Ryan has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Ryan is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

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Ryan does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Ryan is supervised by Jessica Ludwig, Managing Partner and Associate Director of Institutional Consulting. Jessica can be reached at 312-853-1000.

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Item 1            John M. Hart

Remote

Year of Birth    1977

Item 2            Education

University of Denver, Denver, CO

Year of Graduation: 2002

Business Background

2024 – Present      Wealthspire Institutional, LLC

Senior Consultant

2012 – 2024      SEI Investments  
Manager

Senior Client Portfolio

Professional Designation

Chartered Alternative Investment Analyst (CAIA) – 40 hours of Continuing Education (CE) credits every two years.

Item 3            Disciplinary Information

John has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4            Other Business Activities

John is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5            Additional Compensation

John does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6            Supervision

John is supervised by Jessica Ludwig, Managing Partner and Director of Institutional Consulting at Wealthspire Institutional. Jessica can be reached at 312-853-1000.

Item 1            Matt Hedley

Richmond, VA

Year of Birth    1984

|               |                                                                                                                                                                                                                                                 |                                |                |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|----------------|
| Item 2        | Education                                                                                                                                                                                                                                       |                                |                |
|               | Radford University, Radford, VA                                                                                                                                                                                                                 | Year of Graduation: 2007       |                |
|               | <u>Business Background</u>                                                                                                                                                                                                                      |                                |                |
|               | 2025 – Present                                                                                                                                                                                                                                  | Wealthspire Institutional, LLC | Consultant     |
|               | 2022 – 2025                                                                                                                                                                                                                                     | OneDigital                     | Vice President |
|               | 2019 – 2022                                                                                                                                                                                                                                     | Brockenbrough, Inc.            | Director       |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                 |                                |                |
|               | Certified Financial Planner (CFP) – 30 hours of Continuing Education (CE) to complete every 2 years.                                                                                                                                            |                                |                |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                        |                                |                |
|               | Matt has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                             |                                |                |
| Item 4        | Other Business Activities                                                                                                                                                                                                                       |                                |                |
|               | Matt is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time. |                                |                |
| Item 5        | Additional Compensation                                                                                                                                                                                                                         |                                |                |
|               | Matt does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |                                |                |
| Item 6        | Supervision                                                                                                                                                                                                                                     |                                |                |
|               | Matt is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting at Wealthspire Institutional. Anthony can be reached at 860-683-1187.                                                                        |                                |                |
| Item 1        | Joel A. Hainsfurther                                                                                                                                                                                                                            |                                |                |
|               | Chicago, IL                                                                                                                                                                                                                                     |                                |                |
| Year of Birth | 1986                                                                                                                                                                                                                                            |                                |                |
| Item 2        | Education                                                                                                                                                                                                                                       |                                |                |
|               | BA, Lake Forest College, Lake Forest, IL.                                                                                                                                                                                                       | Year of Graduation: 2009       |                |
|               | <a href="http://www.wealthspire.com">www.wealthspire.com</a>                                                                                                                                                                                    |                                |                |

MBA, The University of Chicago Booth School of Business, Chicago, IL. Year of Graduation: 2015

Business Background

|                |                                  |                             |
|----------------|----------------------------------|-----------------------------|
| 2020 – Present | Wealthspire Institutional, LLC   | Senior Research Analyst     |
| 2018 – 2020    | Wealthspire Institutional, LLC   | Research Analyst            |
| 2016 -2017     | Birch Lake Associates, LLC       | Senior Analyst              |
| 2013 – 2015    | Lodestar Investment Counsel, LLC | Associate Portfolio Manager |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3      Disciplinary Information

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Joel has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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Joel is not engaged in any other investment-related business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

---

Joel does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Joel is supervised by Matthew Kaminski, Partner and Head of Research at Wealthspire Institutional. Matthew can be reached at 312-853-1000.

Item 1      James M. Jensen

Chicago, IL

Year of Birth      1970

Item 2      Education

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University of Iowa, Iowa City, IA

Year of Graduation: 1992

Business Background

[www.wealthspire.com](http://www.wealthspire.com)

|                |                                   |                            |
|----------------|-----------------------------------|----------------------------|
| 2015 – Present | Wealthspire Institutional, LLC    | Partner, Senior Consultant |
| 2008 – 2015    | DiMeo Schneider & Associates, LLC | Senior Consultant          |
| 2004 – 2008    | DiMeo Schneider & Associates, LLC | Consultant                 |

#### Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.

#### Item 3 Disciplinary Information

---

James has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4 Other Business Activities

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James is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

#### Item 5 Additional Compensation

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As a Partner, James receives an economic benefit based on the overall profitability of Wealthspire Institutional. James does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6 Supervision

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James is a Partner and is supervised by Brian Carlson, Managing Partner and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.

Item 1 Christine M. Jordan  
Chicago, IL

Year of Birth 1978

#### Item 2 Education

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James Madison University, Harrisonburg, VA      Year of Graduation: 2000

#### Business Background

|                |                                    |            |
|----------------|------------------------------------|------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Principal  |
| 2018 – 2020    | Fiduciary Investment Advisors, LLC | Consultant |

### Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

#### Item 3 Disciplinary Information

---

Christine has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4 Other Business Activities

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Christine is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

#### Item 5 Additional Compensation

---

Christine does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6 Supervision

---

Christine is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1 Christopher F. Kachmar  
Windsor, CT

Year of Birth 1965

#### Item 2 Education

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Boston University, Boston, MA

Year of Graduation: 1987

### Business Background

|                |                                |                                  |
|----------------|--------------------------------|----------------------------------|
| 2020 – Present | Wealthspire Institutional, LLC | Partner, Chief Market Strategist |
|----------------|--------------------------------|----------------------------------|

|             |                                    |                       |
|-------------|------------------------------------|-----------------------|
| 2006 – 2020 | Fiduciary Investment Advisors, LLC | Managing Partner, CIO |
|-------------|------------------------------------|-----------------------|

### Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

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|               |                                                                                                                                                                                                                                                                                                         |                                    |                                     |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|-------------------------------------|
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                                |                                    |                                     |
|               | Christopher has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                                                                              |                                    |                                     |
| Item 4        | Other Business Activities                                                                                                                                                                                                                                                                               |                                    |                                     |
|               | Christopher is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.                                                  |                                    |                                     |
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                                 |                                    |                                     |
|               | As a Partner, Christopher receives an economic benefit based on the overall profitability of Wealthspire Institutional. Christopher does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |                                    |                                     |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                             |                                    |                                     |
|               | Christopher is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.                                                                                                                         |                                    |                                     |
| Item 1        | Matthew J. Kaminski                                                                                                                                                                                                                                                                                     |                                    |                                     |
|               | Windsor, CT                                                                                                                                                                                                                                                                                             |                                    |                                     |
| Year of Birth | 1983                                                                                                                                                                                                                                                                                                    |                                    |                                     |
| Item 2        | Education                                                                                                                                                                                                                                                                                               |                                    |                                     |
|               | Stonehill College, Easton, MA                                                                                                                                                                                                                                                                           |                                    | Year of Graduation: 2005            |
|               | <u>Business Background</u>                                                                                                                                                                                                                                                                              |                                    |                                     |
|               | 2021 – Present                                                                                                                                                                                                                                                                                          | Wealthspire Institutional, LLC     | Partner, Head of Manager Research   |
|               | 2009 – 2020                                                                                                                                                                                                                                                                                             | Fiduciary Investment Advisors, LLC | Partner, Director, Manager Research |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                                                                         |                                    |                                     |
|               | Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.                                                                                                                                                                                                           |                                    |                                     |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                                |                                    |                                     |

Matthew has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4      Other Business Activities

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Matthew is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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As a Partner, Matthew receives an economic benefit based on the overall profitability of Wealthspire Institutional. Matthew does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Matthew is supervised by Brad Long, Managing Partner and Chief Investment Officer at Wealthspire Institutional. Brad can be reached at 312-853-1000.

Item 1      Benjamin D. Kille

West Hartford, CT

Year of Birth      1962

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Item 2      Education

BS, University of Arizona, Tucson, AZ

Year of Graduation: 1984

Business Background

|                |                                |                   |
|----------------|--------------------------------|-------------------|
| 2026 – Present | Wealthspire Institutional, LLC | Managing Director |
| 2022 – Present | Wealthspire Advisors, LLC      | Managing Director |
| 2003 – 2022    | Private Capital Group, LLC     | Principal         |
| 1998 – 2003    | Lincoln Financial Group        | Advisor           |

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

Accredited Investment Fiduciary® (AIF®)

Certified Investment Management Analyst (CIMA®) – 40 hours of continuing education (CE) every two years.

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Item 3      Disciplinary Information

[www.wealthspire.com](http://www.wealthspire.com)

Benjamin has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4      Other Business Activities

Benjamin is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

Benjamin does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

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Item 6      Supervision

Benjamin is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759.

Item 1      Bruce R. Laning

Milwaukee, WI

Year of Birth      1959

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Item 2      Education

BS, Valparaiso University, Valparaiso, IN      Year of Graduation: 1981

Master of Management, Northwestern University J.L. Kellogg Graduate School of Management, Evanston, IL      Year of Graduation: 1988

Business Background

2026 – Present      Wealthspire Institutional, LLC      Managing Director and Principal

2014 – Present      Wealthspire Advisors, LLC      Managing Director and Principal

2012 – 2014      Baker Tilly Investment Advisors, LP      Principal

2001 – 2012      Marietta Investment Partners      Partner and Portfolio Manager

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

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Item 3      Disciplinary Information

[www.wealthspire.com](http://www.wealthspire.com)

Bruce has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4      Other Business Activities

Bruce is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

Bruce does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

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Item 6      Supervision

Bruce is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759.

Item 1      Frank Locatell

Windsor, CT

Year of Birth    1956

Item 2      Education

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BA, Syracuse University, Syracuse, NY

Year of Graduation: 1979

MBA, Marist College, Poughkeepsie, NY

Year of Graduation: 1990

Business Background

2020 – Present  
Coordinator

Wealthspire Institutional, LLC

Financial Wellness

2019 – 2020  
Coordinator

Fiduciary Investment Advisors, LLC

Financial Wellness

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

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Item 3      Disciplinary Information

Frank has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Frank is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

---

Frank does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Frank is supervised by Scott Boulton, Senior Consultant at Wealthspire Institutional. Scott can be reached at 312-853-1000.

Item 1  
Bradford L. Long  
Chicago, IL

Year of Birth 1985

Item 2 Education

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University of Colorado, Boulder, CO Year of Graduation: 2008

Business Background

|                |                                    |                       |
|----------------|------------------------------------|-----------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Managing Partner, CIO |
| 2012 – 2020    | Fiduciary Investment Advisors, LLC | Consultant            |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3 Disciplinary Information

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Bradford has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Bradford is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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As a Partner, Bradford receives an economic benefit based on the overall profitability of Wealthspire Institutional. Bradford does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Bradford is a Managing Partner and is supervised by Mike LaMena, Chief Executive Officer at Wealthspire. Mike can be reached at (301) 679-6212.

Item 1      Robert H. Lowry  
             Windsor, CT

Year of Birth      1987

Item 2      Education

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Bucknell University, Lewisburg, PA

Year of Graduation: 2009

Business Background

2020 – Present      Wealthspire Institutional, LLC      Principal, Associate  
Research Director-Global Public Markets

2011 – 2020      Fiduciary Investment Advisors, LLC      Consultant

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3      Disciplinary Information

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Robert has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

---

Robert is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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Robert does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

|               |                            |                                                                                                                                                                                                                                                                                                          |                          |
|---------------|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Item 6        | Supervision                | Robert is supervised by Matthew Kaminski, Partner and Head of Manager Research at Wealthspire Institutional. Matthew can be reached at 312-853-1000.                                                                                                                                                     |                          |
| Item 1        | Jessica P. Ludwig          | Chicago, IL                                                                                                                                                                                                                                                                                              |                          |
| Year of Birth | 1981                       |                                                                                                                                                                                                                                                                                                          |                          |
| Item 2        | Education                  | Georgetown University, Washington, D.C.,                                                                                                                                                                                                                                                                 |                          |
|               |                            | Year of Graduation: 2004                                                                                                                                                                                                                                                                                 |                          |
|               | <u>Business Background</u> |                                                                                                                                                                                                                                                                                                          |                          |
|               | 2021 – Present             | Wealthspire Institutional, LLC                                                                                                                                                                                                                                                                           | Managing Partner,        |
|               |                            | Associate Director of Institutional Consulting                                                                                                                                                                                                                                                           |                          |
|               | 2018 – 2021                | DiMeo Schneider & Associates, LLC                                                                                                                                                                                                                                                                        | Partner                  |
|               | 2011 – 2018                | DiMeo Schneider & Associates, LLC                                                                                                                                                                                                                                                                        | Senior Consultant        |
|               | 2008 – 2011                | DiMeo Schneider & Associates, LLC                                                                                                                                                                                                                                                                        | Consultant               |
|               | 2006 – 2008                | DiMeo Schneider & Associates, LLC                                                                                                                                                                                                                                                                        | Client Service Associate |
| Item 3        | Disciplinary Information   | Jessica has not been involved in any legal or disciplinary events that would be material to a client's evaluation of her or Wealthspire Institutional.                                                                                                                                                   |                          |
| Item 4        | Other Business Activities  | Jessica is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.                                                       |                          |
| Item 5        | Additional Compensation    | As a Managing Partner, Jessica receives an economic benefit based on the overall profitability of Wealthspire Institutional. Jessica does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |                          |
| Item 6        | Supervision                |                                                                                                                                                                                                                                                                                                          |                          |

Jessica is a Managing Partner and is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1 Katherine Marino  
Windsor, CT

Year of Birth 1984

Item 2 Education

|                                |                          |
|--------------------------------|--------------------------|
| University of Hartford, MBA    | Year of Graduation: 2020 |
| Simmons University, Boston, MA | Year of Graduation: 2006 |

Business Background

|                |                                    |                                                       |
|----------------|------------------------------------|-------------------------------------------------------|
| 2020 – Present | Wealthspire Institutional, LLC     | Director of Defined Contribution Consultant Analytics |
| 2008 – 2020    | Fiduciary Investment Advisors, LLC | Consultant                                            |

Item 3 Disciplinary Information

Katherine has not been involved in any legal or disciplinary events that would be material to a client's evaluation of her or Wealthspire Institutional.

Item 4 Other Business Activities

Katherine is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

Katherine does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Katherine is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Year of Birth 1992

Year of Graduation: 2014

|                |                                                                  |                   |
|----------------|------------------------------------------------------------------|-------------------|
| 2021 – Present | Wealthspire Institutional, LLC                                   | Principal, Senior |
|                | Defined Contribution Research Specialist – Global Public Markets |                   |

|             |                                    |                  |
|-------------|------------------------------------|------------------|
| 2014 – 2021 | Fiduciary Investment Advisors, LLC | Research Analyst |
|-------------|------------------------------------|------------------|

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Sean has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Sean is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Sean does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Sean is supervised by Matthew Kaminski, Partner and Head of Manager Research of Wealthspire Institutional. Matthew can be reached at 312-853-1000.

Year of Birth 1989

|               |                                                                                                                                                                                                                                                  |                                                                 |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
| Item 2        | Education                                                                                                                                                                                                                                        |                                                                 |
|               | Boston University, Boston, MA                                                                                                                                                                                                                    | Year of Graduation: 2011                                        |
|               | <u>Business Background</u>                                                                                                                                                                                                                       |                                                                 |
|               | 2021 – Present                                                                                                                                                                                                                                   | Wealthspire Institutional, LLC Senior Consultant                |
|               | 2018 – 2021                                                                                                                                                                                                                                      | Fiduciary Investment Advisors, LLC Consultant, Research Analyst |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                  |                                                                 |
|               | Accredited Investment Fiduciary® (AIF®)                                                                                                                                                                                                          |                                                                 |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                         |                                                                 |
|               | Carol has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                             |                                                                 |
| Item 4        | Other Business Activities                                                                                                                                                                                                                        |                                                                 |
|               | Carol is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time. |                                                                 |
| Item 5        | Additional Compensation                                                                                                                                                                                                                          |                                                                 |
|               | Carol does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |                                                                 |
| Item 6        | Supervision                                                                                                                                                                                                                                      |                                                                 |
|               | Carol is supervised by Vincent Smith, Partner, Regional Director, and Senior Consultant at Wealthspire Institutional. Vincent can be reached at 617-532-0665.                                                                                    |                                                                 |
| Item 1        | James B. Modelski                                                                                                                                                                                                                                |                                                                 |
|               | Chicago, IL                                                                                                                                                                                                                                      |                                                                 |
| Year of Birth | 1967                                                                                                                                                                                                                                             |                                                                 |
| Item 2        | Education                                                                                                                                                                                                                                        |                                                                 |
|               | Columbia College, Chicago, IL                                                                                                                                                                                                                    | Year of Graduation: 1989                                        |
|               | <a href="http://www.wealthspire.com">www.wealthspire.com</a>                                                                                                                                                                                     |                                                                 |

Loyola University, Chicago, IL, MBA

Year of Graduation 2000

Business Background

|                |                                    |                            |
|----------------|------------------------------------|----------------------------|
| 2021 – Present | Wealthspire Institutional, LLC     | Partner, Regional Director |
| 1998 – 2021    | Fiduciary Investment Advisors, LLC | Consultant                 |

Professional Designation

Certified Fund Specialist (CFS)

Item 3      Disciplinary Information

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James has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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James is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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As a Partner, James receives an economic benefit based on the overall profitability of Wealthspire Institutional. Jim does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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James is a Partner and is supervised by Jessica Ludwig, Managing Partner and Associate Director of Institutional Consulting at Wealthspire Institutional. Jessica can be reached at 312-853-1000.

Item 1      Ryan L. Murphy

Boston, MA

Year of Birth      1975

Item 2      Education

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Franklin & Marshall College, Lancaster, PA

Year of Graduation: 1997

Business Background

|                |                                |                   |
|----------------|--------------------------------|-------------------|
| 2021 – Present | Wealthspire Institutional, LLC | Senior Consultant |
|----------------|--------------------------------|-------------------|

[www.wealthspire.com](http://www.wealthspire.com)

2018 – 2021

Fiduciary Investment Advisors, LLC

Senior Consultant

Item 3 Disciplinary Information

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Ryan has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Ryan is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

---

Ryan does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

---

Ryan is supervised by Brian Samuels, Principal and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.

Item 1 Peter D. Nadeau  
Boston, MA

Year of Birth 1983

Item 2 Education

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University of Hartford, Hartford, CT

Year of Graduation: 2005

Business Background

2020 – Present Wealthspire Institutional, LLC Partner, Senior  
Consultant

2014 – 2020 Fiduciary Investment Advisors, LLC Consultant



|               |                                                                                                             |                                                                                                                                                                                                                                                       |                    |
|---------------|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Item 4        | Other Business Activities                                                                                   | Marycarmen is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time. |                    |
| Item 5        | Additional Compensation                                                                                     | Marycarmen does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |                    |
| Item 6        | Supervision                                                                                                 | Marycarmen is supervised by Jessica Ludwig, Managing Partner and Director of Institutional Consulting. Jessica can be reached at 312-853-1000.                                                                                                        |                    |
| Item 1        | Adam P. Newell                                                                                              |                                                                                                                                                                                                                                                       |                    |
|               | Chicago, IL                                                                                                 |                                                                                                                                                                                                                                                       |                    |
| Year of Birth | 1978                                                                                                        |                                                                                                                                                                                                                                                       |                    |
| Item 2        | Education                                                                                                   |                                                                                                                                                                                                                                                       |                    |
|               | Purdue University, West Lafayette, IN                                                                       | Year of Graduation: 2000                                                                                                                                                                                                                              |                    |
|               | <u>Business Background</u>                                                                                  |                                                                                                                                                                                                                                                       |                    |
|               | 2020 – Present<br>Consultant                                                                                | Wealthspire Institutional, LLC                                                                                                                                                                                                                        | Partner, Senior    |
|               | 2004 – 2020<br>Consultant, Partner                                                                          | DiMeo Schneider & Associates LLC                                                                                                                                                                                                                      | Consultant, Senior |
|               | 2000 – 2004                                                                                                 | The Ayco Company (Goldman Sachs)                                                                                                                                                                                                                      | Financial Planner  |
|               | <u>Professional Designation</u>                                                                             |                                                                                                                                                                                                                                                       |                    |
|               | Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.               |                                                                                                                                                                                                                                                       |                    |
|               | Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years. |                                                                                                                                                                                                                                                       |                    |
| Item 3        | Disciplinary Information                                                                                    |                                                                                                                                                                                                                                                       |                    |

Adam has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Adam is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

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As a Partner, Adam receives an economic benefit based on the overall profitability of Wealthspire Institutional. Adam does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Adam is a Partner and is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1 Timothy C. Ng  
Windsor, CT

Year of Birth 1956

Item 2 Education

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|                                         |       |                          |
|-----------------------------------------|-------|--------------------------|
| Stony Brook University, Stony Brook, NY | B.A.  | Year of Graduation: 1978 |
| Long Island University, Greenvale, NY   | M.B.A | Year of Graduation: 1980 |

Business Background

|                |                                 |                    |
|----------------|---------------------------------|--------------------|
| 2021 – Present | Wealthspire Institutional, LLC  | Senior Consultant  |
| 2011 – 2021    | Clearbrook Global Advisors, LLC | Managing Director, |
|                | Chief Investment Officer        |                    |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3 Disciplinary Information

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Timothy has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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[www.wealthspire.com](http://www.wealthspire.com)

Timothy is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

Timothy does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Timothy is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1 Dawuanta (Dee) D. Northern  
McLean, VA

Year of Birth 1993

Item 2 Education

Old Dominion University, Norfolk, VA

Year of Graduation: 2016

Business Background

|                |                                     |                  |
|----------------|-------------------------------------|------------------|
| 2024 – Present | Wealthspire Institutional, LLC      | Wealth Planner   |
| 2021 – 2024    | Capasso Planning Partners           | Wealth Advisor   |
| 2019 – 2021    | Buckingham Strategic Wealth Advisor | Associate Wealth |

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

Item 3 Disciplinary Information

Dee has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Dee is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

---

Dee does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

---

Dee is a Wealth Planner at Wealthspire Institutional and as such is supervised by Nicholas Breit; a Partner and Director of Financial Planning Services at Wealthspire Institutional. Nicholas can be reached at 312-853-1000.

Item 1      Anthony M. Novara

Chicago, IL

Year of Birth      1982

Item 2      Education

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|                                                 |                          |
|-------------------------------------------------|--------------------------|
| BA, Michigan State University, East Lansing, MI | Year of Graduation: 2004 |
| MBA, University of Chicago, Chicago, IL         | Year of Graduation: 2012 |

Business Background

|                |                                                        |                   |
|----------------|--------------------------------------------------------|-------------------|
| 2022 – Present | Wealthspire Institutional, LLC                         | Partner, Research |
|                | Director – Marketable Alternatives and Capital Markets |                   |
| 2011 – 2022    | DiMeo Schneider & Associates, LLC                      | Research Director |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3      Disciplinary Information

---

Anthony has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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Anthony is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

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As a Partner, Anthony receives an economic benefit based on the overall profitability of Wealthspire Institutional. Anthony does not receive economic benefits from any person or

entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

---

Anthony is supervised by Matthew Kaminski, Partner and Head of Manager Research of Wealthspire Institutional. Matthew can be reached at 312-853-1000.

Item 1 Kevin P. O'Connell

Boston, MA

Year of Birth 1980

Item 2 Education

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BA, Boston College, Boston, MA

Year of Graduation: 2003

MBA, Univ. of Virginia, Charlottesville, VA

Year of Graduation: 2010

Business Background

2022 – Present Wealthspire Institutional, LLC  
Director – Marketable Alternatives and Capital Markets

Partner, Research

2017 – 2022 TIFF Investment Management

Director

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

CFA Institute – Sustainable Investing Certificate

Item 3 Disciplinary Information

---

Kevin has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Kevin is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

---

Kevin does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

---

Kevin is supervised by Brian Samuels, Partner and Senior Consultant. Brian can be reached at 312-853-1000.

Item 1      Karen R. Paulson  
Windsor, CT

Year of Birth      1966

Item 2      Education

University of Hartford, Hartford, CT

Year of Graduation: 1988

Business Background

2020 – Present      Wealthspire Institutional, LLC      Partner, Senior  
Consultant

2006 – 2020      Fiduciary Investment Advisors LLC      Managing Partner,  
Senior Consultant

Professional Designation

Certified Investment Management Analyst (CIMA®) – 40 hours of continuing education (CE) every two years.

Item 3      Disciplinary Information

Karen has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

Karen is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5      Additional Compensation

As a Partner, Karen receives an economic benefit based on the overall profitability of Wealthspire Institutional. Karen does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

Karen is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1            Amanda Phillips-DeSaverio  
Denver, CO  
Year of Birth    1986

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Item 2            Education

BS, Metropolitan State University of Denver, Denver, CO            Year of  
Graduation: 2008

Business Background

|                |                                |                                   |
|----------------|--------------------------------|-----------------------------------|
| 2026 – Present | Wealthspire Institutional, LLC | Vice President, Advisor           |
| 2023 – Present | Wealthspire Advisors, LLC      | Vice President, Advisor           |
| 2020 – 2023    | Corundum Group                 | Vice President, Wealth Advisor    |
| 2016 – 2020    | Sunflower Bank                 | Vice President, Wealth Advisor    |
| 2007 – 2016    | First Western Trust            | Vice President, Portfolio Manager |

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

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Item 3            Disciplinary Information

Amanda has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

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Item 4            Other Business Activities

Amanda is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5            Additional Compensation

Amanda does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

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Item 6            Supervision

Amanda is supervised by Brian Yu, Chief Compliance Officer. Brian can be reached at 949-305-3759.

Item 1            Kathryn J. Pizzi  
                      Windsor, CT  
 Year of Birth    1977

Item 2            Education

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|                               |                          |
|-------------------------------|--------------------------|
| Boston University, Boston, MA | Year of Graduation: 1999 |
|-------------------------------|--------------------------|

Business Background

|                |                                   |                 |
|----------------|-----------------------------------|-----------------|
| 2020 – Present | Wealthspire Institutional, LLC    | Partner, Senior |
|                | Consultant                        |                 |
| 2018 – 2020    | Fiduciary Investment Advisors LLC | Consultant      |

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3            Disciplinary Information

---

Kathryn has not been involved in any legal or disciplinary events that would be material to a client's evaluation of her or Wealthspire Institutional.

Item 4            Other Business Activities

---

Kathryn is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5            Additional Compensation

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As a Partner, Kathryn receives an economic benefit based on the overall profitability of Wealthspire Institutional. Kathryn does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6            Supervision

---

Kathryn is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1            Tyler B. Polk  
                      Windsor, CT

Year of Birth 1981

Item 2 Education

Williams College, Williamstown, MA

Year of Graduation: 2004

Business Background

2020 – Present      Wealthspire Institutional, LLC      Partner, Senior  
Consultant

2018 – 2020      Fiduciary Investment Advisors LLC      Consultant

Item 3 Disciplinary Information

Tyler has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Tyler is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

As a Partner, Tyler receives an economic benefit based on the overall profitability of Wealthspire Institutional. Tyler does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Tyler is supervised by Karen Paulson, Partner and Senior Consultant Wealthspire Institutional. Karen can be reached at 312-853-1000.

Item 1 Matthew P. Porter

Chicago, IL

Year of Birth 1971

|               |                                                                                                                                                                                                                                                                                                          |                                        |
|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
| Item 2        | Education                                                                                                                                                                                                                                                                                                |                                        |
|               | University of Illinois, Champaign, IL                                                                                                                                                                                                                                                                    | Year of Graduation: 1993               |
|               | <u>Business Background</u>                                                                                                                                                                                                                                                                               |                                        |
|               | 2020 – Present      Wealthspire Institutional, LLC                                                                                                                                                                                                                                                       | Managing Partner,<br>Senior Consultant |
|               | 1998 – 2020      Fiduciary Investment Advisors LLC                                                                                                                                                                                                                                                       | Consultant                             |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                                                                          |                                        |
|               | Certified Investment Management Analyst (CIMA®) – 40 hours of Continuing Education (CE) to be completed every two years.                                                                                                                                                                                 |                                        |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                                 |                                        |
|               | Matthew has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                                                                                   |                                        |
| Item 4        | Other Business Activities                                                                                                                                                                                                                                                                                |                                        |
|               | Matthew is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.                                                       |                                        |
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                                  |                                        |
|               | As a Managing Partner, Matthew receives an economic benefit based on the overall profitability of Wealthspire Institutional. Matthew does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |                                        |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                              |                                        |
|               | Matthew is a Partner and is supervised by Jessica Ludwig, Managing Partner and Director of Institutional Consulting. Jessica can be reached at 312-853-1000.                                                                                                                                             |                                        |
| Item 1        | Eric E. Ramos                                                                                                                                                                                                                                                                                            |                                        |
|               | Chicago, IL                                                                                                                                                                                                                                                                                              |                                        |
| Year of Birth | 1989                                                                                                                                                                                                                                                                                                     |                                        |
| Item 2        | Education                                                                                                                                                                                                                                                                                                |                                        |
|               | Purdue University, West Lafayette, IN                                                                                                                                                                                                                                                                    | Year of Graduation: 2011               |

### Business Background

|                |                                |                   |
|----------------|--------------------------------|-------------------|
| 2020 – Present | Wealthspire Institutional, LLC | Senior Consultant |
| 2013 – 2020    | DiMeo Schneider & Associates   | Consultant        |

### Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

#### Item 3 Disciplinary Information

---

Eric has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4 Other Business Activities

---

Eric is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

#### Item 5 Additional Compensation

---

Eric does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6 Supervision

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Eric is supervised by Jessica Ludwig, Managing Partner and Associate Director of Institutional Consulting. Jessica can be reached at 312-853-1000.

Item 1 Louis M. Ressler

Chicago, IL

Year of Birth 1978

#### Item 2 Education

---

Taylor University, Upland, IN

Year of Graduation: 2000

### Business Background

|                |                                |                         |
|----------------|--------------------------------|-------------------------|
| 2022 – Present | Wealthspire Institutional, LLC | Senior Consultant       |
| 2019 – 2022    | Wintrust Financial             | Retirement Plan Advisor |

[www.wealthspire.com](http://www.wealthspire.com)

Professional Designation

Accredited Investment Fiduciary (AIF)

Certified Plan Fiduciary Advisor (CPFA)

Item 3      Disciplinary Information

---

Louis has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

---

Louis is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

---

Louis does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

---

Louis is supervised by Brian Carlson, Managing Partner and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.

Item 1      Jacqueline A. Rondini  
Chicago, IL

Year of Birth      1968

Item 2      Education

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Iowa State University, Ames, IA

Year of Graduation: 1989

Business Background

|                |                                |                              |
|----------------|--------------------------------|------------------------------|
| 2024 – Present | Wealthspire Institutional, LLC | Principal, Senior Consultant |
|----------------|--------------------------------|------------------------------|

|             |                                |                   |
|-------------|--------------------------------|-------------------|
| 1997 – 2024 | Wealthspire Institutional, LLC | Senior Consultant |
|-------------|--------------------------------|-------------------|

Professional Designation

[www.wealthspire.com](http://www.wealthspire.com)

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) credits every two years.

Item 3 Disciplinary Information

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Jacqueline has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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Jacqueline is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

---

Jacqueline does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Jacqueline is supervised by Joseph S. Cortese III, Partner and Senior Consultant at Wealthspire Institutional. Joseph can be reached at 312-853-1000.

Item 1 Christopher J. Rowlin  
Windsor, CT

Year of Birth 1965

Item 2 Education

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Boston University, Boston, MA

Year of Graduation: 1990

Business Background

|                |                                |                            |
|----------------|--------------------------------|----------------------------|
| 2020 – Present | Wealthspire Institutional, LLC | Partner, Senior Consultant |
|----------------|--------------------------------|----------------------------|

|             |                                   |                                     |
|-------------|-----------------------------------|-------------------------------------|
| 2010 – 2020 | Fiduciary Investment Advisors LLC | Managing Partner, Senior Consultant |
|-------------|-----------------------------------|-------------------------------------|

Item 3 Disciplinary Information

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Christopher has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

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[www.wealthspire.com](http://www.wealthspire.com)

Christopher is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

---

As a Partner, Christopher receives an economic benefit based on the overall profitability of Wealthspire Institutional. Christopher does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

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Christopher is supervised by Brian Samuels, Principal and Senior Consultant at Wealthspire Institutional. Brian can be reached at 312-853-1000.

Item 1 Michael. C. Sahakian  
Potomac, MD

Year of Birth 1962

Item 2 Education

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MBA, George Washington University, Washington, DC; Year of Graduation: 1987

BS, University of Richmond, Richmond, VA; Year of Graduation: 1984

Business Background

2026 – Present Wealthspire Institutional, LLC Senior Consultant

2015 – 2026 Truist Foundations and Endowments Specialty Practice, Managing Director, Northeast Regional Practice Leader

2011-2015 TAMRO Capital Partners, Director of Client Services and Marketing

Item 3 Disciplinary Information

---

Michael has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

---

Michael is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5 Additional Compensation

---

Michael does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

---

Michael is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1 Andrew B. Salak

Windsor, CT

Year of Birth 1982

Item 2 Education

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Fordham University, Bronx, NY

Year of Graduation: 2004

Business Background

2020 – Present Wealthspire Institutional, LLC Senior Consultant

2014 – 2020 Fiduciary Investment Advisors LLC Associate Director of  
Wealth Advisory Services

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of continuing education (CE) every two years

Item 3 Disciplinary Information

---

Andrew has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

---

Andrew is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

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Item 5      Additional Compensation

---

Andrew does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Andrew is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1      Brian J. Samuels

Boston, MA

Year of Birth      1984

Item 2      Education

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BA, Goucher College, Baltimore, MD

Year of Graduation: 2007

MBA, Duke University, Durham, NC

Year of Graduation: 2013

Business Background

|                |                                |                              |
|----------------|--------------------------------|------------------------------|
| 2020 – Present | Wealthspire Institutional, LLC | Principal, Senior Consultant |
|----------------|--------------------------------|------------------------------|

|             |                                   |            |
|-------------|-----------------------------------|------------|
| 2017 – 2020 | DiMeo Schneider & Associates, LLC | Consultant |
|-------------|-----------------------------------|------------|

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3      Disciplinary Information

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Brian has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

---

Brian is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5      Additional Compensation

---

Brian does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

---

Brian is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting at Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1      Joseph A. Scime  
Sayville, NY

Year of Birth      1986

Item 2      Education

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University of Michigan, Ann Arbor, MI

Year of Graduation: 2008

Business Background

|                |                                |                            |
|----------------|--------------------------------|----------------------------|
| 2020 – Present | Wealthspire Institutional, LLC | Partner, Senior Consultant |
|----------------|--------------------------------|----------------------------|

|             |                                  |            |
|-------------|----------------------------------|------------|
| 2012 – 2020 | DiMeo Schneider & Associates LLC | Consultant |
|-------------|----------------------------------|------------|

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Chartered Financial Analyst (CFP®) – 30 hours of Continuing Education (CE) credits every two years.

Item 3      Disciplinary Information

---

Joseph has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

---

Joseph is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5      Additional Compensation

---

As a Partner, Joseph receives an economic benefit based on the overall profitability of Wealthspire Institutional. Joseph does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

---

[www.wealthspire.com](http://www.wealthspire.com)

Joseph is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1      Barrett R. Scott

McLean, VA

Year of Birth      1990

Item 2      Education

Clemson University, Clemson, SC

Year of Graduation: 2013

Business Background

2020 – Present      Wealthspire Institutional, LLC      Senior Consultant

2017 – 2020      Fiduciary Investment Advisors LLC      Consultant

Professional Designation

Certified Financial Planner (CFP®) – 30 hours of Continuing Education (CE) to be completed every two years.

Item 3      Disciplinary Information

Barrett has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

Barrett is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5      Additional Compensation

Barrett does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

Barrett is supervised by Chad Tischer, Director of OCIO Services, Director of Consulting for The Wealth Office™, and Partner of Wealthspire Institutional. Chad can be reached at 312-853-1000.

Item 1            Matthew T. Smith

Windsor, CT

Year of Birth    1986

Item 2            Education

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University of Massachusetts, Amherst, MA

Year of Graduation: 2009

Business Background

2020 – Present      Wealthspire Institutional, LLC                      Senior Research Analyst

2015 – 2020              Fiduciary Investment Advisors LLC                      Research Analyst

Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

Item 3            Disciplinary Information

---

Matthew has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4            Other Business Activities

---

Matthew is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

Item 5            Additional Compensation

---

Matthew does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6            Supervision

---

Matthew is supervised by Matthew Kaminski, Partner and Head of Manager Research of Wealthspire Institutional. Matthew can be reached at 312-853-1000.

Item 1            Vincent M. Smith

Boston, MA

Year of Birth    1976

|               |                                                                                                                                                                                                                                                                                                 |                          |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Item 2        | Education                                                                                                                                                                                                                                                                                       |                          |
|               | Stonehill College, Easton, MA                                                                                                                                                                                                                                                                   | Year of Graduation: 1999 |
|               | <u>Business Background</u>                                                                                                                                                                                                                                                                      |                          |
|               | 2020 – Present      Wealthspire Institutional, LLC                                                                                                                                                                                                                                              | Partner, Defined         |
|               | Contribution Practice Leader                                                                                                                                                                                                                                                                    |                          |
|               | 2015 – 2020      Fiduciary Investment Advisors LLC                                                                                                                                                                                                                                              | Senior Consultant        |
|               | <u>Professional Designation</u>                                                                                                                                                                                                                                                                 |                          |
|               | Accredited Investment Fiduciary® (AIF®) – 6 hours of Continuing Education (CE) credits annually.                                                                                                                                                                                                |                          |
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                        |                          |
|               | Vincent has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                                                                          |                          |
| Item 4        | Other Business Activities                                                                                                                                                                                                                                                                       |                          |
|               | Vincent is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.                                              |                          |
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                         |                          |
|               | As a Partner, Vincent receives an economic benefit based on the overall profitability of Wealthspire Institutional. Vincent does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |                          |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                     |                          |
|               | Vincent is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.                                                                                                                     |                          |
| Item 1        | Stephen W. Spencer                                                                                                                                                                                                                                                                              |                          |
|               | Chicago, IL                                                                                                                                                                                                                                                                                     |                          |
| Year of Birth | 1969                                                                                                                                                                                                                                                                                            |                          |
| Item 2        | Education                                                                                                                                                                                                                                                                                       |                          |

University of New Hampshire, Durham, NH

Year of Graduation: 1992

Business Background

2000 – Present  
Consultant

Wealthspire Institutional, LLC

Principal, Senior

Professional Designation

Certified Investment Management Analyst (CIMA®)

Item 3      Disciplinary Information

---

Steve has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

---

Steve is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5      Additional Compensation

---

Steve does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

---

Steve is supervised by Jessica Ludwig, Managing Partner and Director of Institutional Consulting. Jessica can be reached at 312-853-1000.

Item 1      Michael J. Sustarsic

Indianapolis, IN

Year of Birth      1989

Item 2      Education

---

University of Chicago, Chicago, IL

Year of Graduation: 2012

Business Background

[www.wealthspire.com](http://www.wealthspire.com)

|                            |                                  |                   |
|----------------------------|----------------------------------|-------------------|
| 2020 – Present<br>Director | Wealthspire Institutional, LLC   | Partner, Research |
| 2015 – 2020<br>Research    | DiMeo Schneider & Associates LLC | Senior Analyst,   |

#### Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

#### Item 3 Disciplinary Information

Michael has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4 Other Business Activities

Michael is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

#### Item 5 Additional Compensation

As a Partner, Michael receives an economic benefit based on the overall profitability of Wealthspire Institutional. Michael does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6 Supervision

Michael is supervised by Matthew Kaminski, Partner and Head of Manager Research of Wealthspire Institutional. Matthew can be reached at 312-853-1000.

Item 1 David M. Thome  
McLean, VA

Year of Birth 1981

#### Item 2 Education

James Madison University, Harrisonburg, VA      Year of Graduation: 2003

#### Business Background

|                |                                   |            |
|----------------|-----------------------------------|------------|
| 2020 – Present | Wealthspire Institutional, LLC    | Principal  |
| 2017 – 2020    | Fiduciary Investment Advisors LLC | Consultant |

### Professional Designation

Chartered Financial Analyst (CFP®) – 30 hours of Continuing Education (CE) credits every two years.

#### Item 3      Disciplinary Information

---

David has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

#### Item 4      Other Business Activities

---

David is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of his time.

#### Item 5      Additional Compensation

---

David does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

#### Item 6      Supervision

---

David is supervised by Joseph S. Cortese III, Partner and Senior Consultant at Wealthspire Institutional. Joseph can be reached at 312-853-1000.

Item 1      Chad A. Tischer

Chicago, IL

Year of Birth      1978

#### Item 2      Education

---

St. Cloud State University, St. Cloud, MN

Year of Graduation: 1999

### Business Background

2020 – Present      Wealthspire Institutional, LLC      Partner

2003 – 2020      DiMeo Schneider & Associates      Consultant

### Professional Designation

Chartered Financial Analyst (CFP®) – 30 hours of Continuing Education (CE) credits every two years.

|        |                                                                                                                                                                                                                                                 |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item 3 | Disciplinary Information                                                                                                                                                                                                                        |
|        | Chad has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                             |
| Item 4 | Other Business Activities                                                                                                                                                                                                                       |
|        | Chad is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time. |
| Item 5 | Additional Compensation                                                                                                                                                                                                                         |
|        | Chad does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.                                                                        |
| Item 6 | Supervision                                                                                                                                                                                                                                     |
|        | Chad is supervised by Eric Sontag, President at Wealthspire. Eric can be reached at 212-973-1200.                                                                                                                                               |

Item 1      Anthony J. Tranghese  
Windsor, CT  
Year of Birth      1974

|        |                                                                    |
|--------|--------------------------------------------------------------------|
| Item 2 | Education                                                          |
|        | BA, Marist College, Poughkeepsie, NY      Year of Graduation: 1996 |
|        | MSF, Boston College, Boston, MA      Year of Graduation: 1999      |

#### Business Background

|                |                                      |                   |
|----------------|--------------------------------------|-------------------|
| 2021 – Present | Wealthspire Institutional, LLC       | Managing Partner, |
|                | Director of Institutional Consulting |                   |
| 2006 – 2020    | Fiduciary Investment Advisors LLC    | Senior Consultant |

#### Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

|               |                                                                                                                                                                                                                                                                                                 |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item 3        | Disciplinary Information                                                                                                                                                                                                                                                                        |
|               | Anthony has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.                                                                                                                                          |
| Item 4        | Other Business Activities                                                                                                                                                                                                                                                                       |
|               | Anthony is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.                                              |
| Item 5        | Additional Compensation                                                                                                                                                                                                                                                                         |
|               | As a Partner, Anthony receives an economic benefit based on the overall profitability of Wealthspire Institutional. Anthony does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients. |
| Item 6        | Supervision                                                                                                                                                                                                                                                                                     |
|               | Anthony is supervised by Michael Goss, Managing Partner, President and Chief Revenue Officer at Wealthspire Institutional. Michael can be reached at 312-853-1000.                                                                                                                              |
| Item 1        | Olivia Wall                                                                                                                                                                                                                                                                                     |
|               | Windsor, CT                                                                                                                                                                                                                                                                                     |
| Year of Birth | 1988                                                                                                                                                                                                                                                                                            |
| Item 2        | Education                                                                                                                                                                                                                                                                                       |
|               | Baruch College, City University of New York, New York, NY Year of Graduation: 2011                                                                                                                                                                                                              |

#### Business Background

|                |                                              |                           |
|----------------|----------------------------------------------|---------------------------|
| 2025 – Present | Wealthspire Institutional, LLC               | Senior Research Analyst   |
| 2019 – 2025    | Connecticut Retirement Plans and Trust Funds | Senior Investment Officer |

#### Professional Designation

Chartered Financial Analyst (CFA®) – 20 hours of Professional Learning (PL) credits annually.

|        |                                                                                                                                                       |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item 3 | Disciplinary Information                                                                                                                              |
|        | Olivia has not been involved in any legal or disciplinary events that would be material to a client's evaluation of her or Wealthspire Institutional. |
| Item 4 | Other Business Activities                                                                                                                             |

Olivia is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

Olivia does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Olivia is supervised by Michael Sustarsic, Partner, Research Director – Global Private Markets. Michael can be reached at 312-853-1000.

Item 1 Brian M. White

Chicago, IL

Year of Birth 1978

Item 2 Education

University of Northern Iowa, Cedar Falls, IA

Year of Graduation: 2001

Business Background

2021 – Present  
Consultant

Wealthspire Institutional, LLC

Partner, Senior

2007 – 2020

DiMeo Schneider & Associates LLC

Consultant

Item 3 Disciplinary Information

Brian has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4 Other Business Activities

Brian is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

As a Partner, Brian receives an economic benefit based on the overall profitability of Wealthspire Institutional. Brian does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

[www.wealthspire.com](http://www.wealthspire.com)

Brian is supervised by Anthony Tranghese, Managing Partner and Director of Institutional Consulting of Wealthspire Institutional. Anthony can be reached at 860-683-1187.

Item 1 Leslie A. Whitney

Kennebunk, ME

Year of Birth 1961

Item 2 Education

University of Denver, Denver, CO

Year of Graduation: 1983

#### Business Background

2021 – Present Wealthspire Institutional, LLC Partner, Senior Consultant

2014 – 2020 Fiduciary Investment Advisors LLC Consultant

Item 3 Disciplinary Information

Leslie has not been involved in any legal or disciplinary events that would be material to a client's evaluation of her or Wealthspire Institutional.

Item 4 Other Business Activities

Leslie is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5 Additional Compensation

As a Partner, Leslie receives an economic benefit based on the overall profitability of Wealthspire Institutional. Leslie does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6 Supervision

Leslie is supervised by Vincent Smith, Partner, Senior Consultant, and Defined Contribution Practice Leader at Wealthspire Institutional. Vincent can be reached at 312-853-1000.

Item 1      Altan O. Wuliji  
Chicago

Year of Birth      1986

Item 2      Education

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University of Illinois, Champaign, IL      Year of Graduation: 2009

Business Background

2021 – Present      Wealthspire Institutional, LLC      Principal, Senior  
Consultant

2014 – 2020      Fiduciary Investment Advisors LLC      Consultant

Professional Designation

Chartered Financial Analyst (CFP®) – 30 hours of Continuing Education (CE) credits every two years.

Item 3      Disciplinary Information

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Altan has not been involved in any legal or disciplinary events that would be material to a client's evaluation of him or Wealthspire Institutional.

Item 4      Other Business Activities

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Altan is not engaged in any other investment-related business or occupation and is not engaged in any other business or occupation, for compensation, that provides a substantial source of income or involves a substantial amount of her time.

Item 5      Additional Compensation

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Altan does not receive economic benefits from any person or entity other than Wealthspire Institutional in connection with the provision of investment advice to clients.

Item 6      Supervision

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Altan is supervised by Joseph S. Cortese III, Associate Director of the Financial Institutions Practice and Senior Consultant at Wealthspire Institutional. Joseph can be reached at 312-853-1000.



## Professional Designations

### **Chartered Financial Analyst (CFA®)**

To earn the charter, one must have four years of qualified investment work experience; become a member of the CFA Institute; pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct; and complete the CFA Program. The CFA Program provides a strong foundation of the real-world investment analysis and portfolio management skills and practical knowledge needed in today's investment industry. The CFA Program is organized into three levels, each culminating in a six-hour exam. For more information one can visit [www.cfainstitute.org](http://www.cfainstitute.org).

### **Certified Divorce Financial Analyst (CDFA®)**

CDFAs go through a rigorous process to become this type of professional. They must have a bachelor's degree with three years of on-the-job experience or—if no bachelor's degree—five years of relevant experience. Candidates are required to pass an exam designed by the IDFA. There are currently four methods of pursuing the CDFA certification: exam only, self-study, self-paced eLearning, and virtual classroom. To retain the CDFA designation, holders must also obtain 30 hours of divorce-related continuing education every two years.

### **Certified Investment Management Analyst (CIMA®)**

Certificants must complete a rigorous process that includes a pre-study period leading up to passing the Qualification Examination, attend a one-week onsite intensive at The Wharton School, University of Pennsylvania, pass a comprehensive Certification Examination, and sign and adhere to CIMCA's Code of Professional Responsibility. For more information, one can visit <https://investmentsandwealth.org>.

### **Certified Financial Planner (CFP®)**

In order to fulfill the requirements, one must complete an advanced college-level course of study addressing the financial planning subject areas that the CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services and attain a bachelor's degree from an accredited university; pass the comprehensive CFP Certification Examination administered in 10 hours over a two-day period; complete at least three years of full-time financial planning experience; and agree to be bound by the CFP Board's Standards of Professional Conduct. For more information, one can visit [www.cfp.net](http://www.cfp.net).

### **Chartered Alternative Investment Analysts (CAIA)**

The CAIA program is designed to facilitate self-directed learning through a comprehensive set of readings on risk-return attributes of institutional quality alternative assets. The program is organized into two levels of study. The Level I and Level II exams are offered twice each year, in March and September. The CAIA designation demonstrates mastery of alternative investment concepts, tools, and practices and promotes adherence to the highest standards of professional conduct. For more information, one can visit [www.caia.org](http://www.caia.org).

### **Chartered Retirement Planning Counselor (CRPC®)**

Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning, and the entire retirement planning process using models and techniques from real client situations. The program is designed for approximately 120-150 hours of self-study. The program is self-paced and must be completed within one year from enrollment. For more information, one can visit <https://www.cffp.edu>.

### **Chartered Retirement Plans Specialist (CRPS®)**

Chartered Retirement Plans Specialist and CRPS® are trademarks or registered service marks of the College for Financial Planning in the United States and/or other countries. The CRPS® designation is for financial professionals who design, install, and maintain retirement plans for the business community. Individuals who hold the CRPS® designation have completed ten modules of study, and successfully

passed a closed-book, proctored exam, from the College for Financial Planning. CRPS® professionals must adhere to the College of Financial Planning's Standards of Professional Conduct and complete 16 hours of continuing education every two years.

#### **Chartered SRI Counselor TM or (CSRIC®)**

To be entitled to use the Chartered SRI Counselor TM or CSRIC ® marks, candidates must: pass the final exam; abide by standards of professional conduct; comply with self-disclosure requirements regarding their professional conduct; complete 16 continuing education (CE) credits per designation within the two-year authorization period.

#### **Accredited Investment Fiduciary (AIF®)**

The AIF designation awarded by fi360 demonstrates a focus on the components of a comprehensive investment process, related fiduciary standards of care, and commitment to excellence. To receive the designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor, and agree to abide by the AIF Code of Ethics. On an ongoing basis, completion of continuing education and adherence to the Code of Ethics is required to maintain the AIF designation. For more information, one can visit [www.fi360.com](http://www.fi360.com).

**The PLANSponsor Retirement Professional (PRP)** designation requires that a PRP must have five (5) or more years of direct retirement industry sales, service and/or support experience, must complete both on-line coursework and an instructor lead training session, and successfully pass a final examination. In addition, each PRP candidate must submit a letter of reference that attests to his or her qualifications for certification, agree to PLANSponsor Institute's PRP code of ethics, and, on an ongoing basis, complete twelve (12) hours of continuing education.

**The SPARK Accredited Retirement Plan Consultant (ARPC)** designation is awarded to sales and marketing professionals who have demonstrated individual proficiency in the retirement savings plan industry, have met the eligibility requirements, and successfully completed an examination.

| FACTS        | WHAT DOES WEALTHSPIRE INSTITUTIONAL DO WITH YOUR PERSONAL INFORMATION?                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Why?</b>  | Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.                                                                                                                                                                        |
| <b>What?</b> | <p>The types of personal information we collect and share depend on the product or service you have with us. This information may include:</p> <ul style="list-style-type: none"> <li>• Name, Address, Social Security Number</li> <li>• Employment information</li> <li>• Net worth, risk tolerance, income, assets, account transactions and balances</li> </ul> <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p> |

|             |                                                                                                                                                                                                                                                                                                                      |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>How?</b> | All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Wealthspire Institutional chooses to share; and whether you can limit this sharing. |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| Reasons we can share your personal information                                                                                                                                                                                                                                 | Does Wealthspire Institutional share? | Can you limit this sharing? |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-----------------------------|
| <b>For our everyday business purposes –</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus                                                                                      | Yes                                   | No                          |
| <b>For our marketing purposes –</b> to offer our products and services to you                                                                                                                                                                                                  | Yes                                   | No                          |
| <b>For joint marketing with other financial companies –</b> Pursuant to a written contract pursuant to which Wealthspire Institutional and one or more financial institutions jointly offer, endorse or sponsor a financial product or service, to include insurance policies. | No                                    | We Don't Share              |
| <b>For our affiliates' everyday business purposes –</b> information about your transactions and experiences                                                                                                                                                                    | Yes                                   | No                          |
| <b>For our affiliates' everyday business purposes –</b> information about your creditworthiness                                                                                                                                                                                | No                                    | We Don't Share              |
| <b>For our affiliates to market to you</b>                                                                                                                                                                                                                                     | No                                    | We Don't Share              |
| <b>For non-affiliates to market to you</b>                                                                                                                                                                                                                                     | No                                    | We Don't Share              |

|                   |                                                                                                                                       |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <b>Questions?</b> | Call your consultant or go to <a href="http://www.wealthspire.com">www.wealthspire.com</a> . You may also contact our Privacy Office. |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------|

| Who we are                           |                                |
|--------------------------------------|--------------------------------|
| <b>Who is providing this notice?</b> | Wealthspire Institutional, LLC |

| What we do                                                                 |                                                                                                                                                                                                                                                                           |
|----------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>How does Wealthspire Institutional protect my personal information?</b> | To protect your personal information from unauthorized access and use, we use administrative, technical and physical safeguards as well as security measures that comply with applicable law. These measures include computer safeguards and secured files and buildings. |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>How does Wealthspire Institutional collect my personal information?</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>• Establish an investment advisory relationship</li> <li>• Open an account or deposit money with custodians</li> <li>• Purchase investments with an executing broker-dealer or seek investment advice about your investments</li> <li>• Provide us information on applications, questionnaires, or other forms, websites or through discussions with our customer support staff or your financial consultant</li> </ul> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p> |
| <b>Why can't I limit all sharing?</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>• sharing for affiliates' everyday business purposes – information about your creditworthiness</li> <li>• affiliates from using your information to market to you</li> <li>• sharing for non-affiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>                                                                                                                                                                                                                             |
| <b>Definitions</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Affiliates</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>• Our affiliates include financial companies under common control with our parent company, NFP Corp.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Non-affiliates</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>• Wealthspire Institutional does not share with nonaffiliates so they can market to you.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Joint Marketing</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>• We don't joint market</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Other Important Information</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <p>To see your Information, contact our Privacy Office, 500 W. Madison Street, Suite 3260, Chicago, IL 60661. Attn: Data Subject Request. You must state your full name, address, the insurance company, policy number (if relevant) and the Information you want. We will tell you what Information we have. You may see and copy the Information (unless privileged) at our office or ask that we mail you a copy for a fee. If you think any Information is wrong, you must write us. We will let you know what actions we take. If you do not agree with our actions, you may send us a statement.</p> <p>Some state laws grant additional privacy rights to their residents. If you live in an "opt-in" state, where we are required to obtain your affirmative consent to share your nonpublic personal information with nonaffiliated third parties who do not</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

currently assist us in servicing your account or conducting our business, your financial professional is required to obtain your consent before they can take your information with him or her should they leave our firm.

California residents: For California residents, we will not share your personal information with nonaffiliated third parties, except as required or permitted by law. In addition, for California residents, you are afforded certain rights regarding the nonpublic personal information that we collect from you, including the right to know what personal information we have collected from you, what it is being used for, whether it is being disclosed or sold to nonaffiliated third parties, to whom it is being disclosed or sold, and the right to request that we delete certain personal information that we have collected from you.

Vermont residents: For Vermont residents, we will not share your creditworthiness information with our affiliates, except as required or permitted by law. For joint marketing with nonaffiliated third parties, we will disclose only your name, contact information, and information about your transactions, unless otherwise required or permitted by law. In addition, for Vermont residents, we will not disclose your identity, affairs, or investments unless otherwise required or permitted by law, or you consent to such disclosure.