

SOLE PROPRIETOR INC

Screens Summary (Data as of 09-30-2021)

Fund Removed from Approved List Fund on Watch List

Name	Ticker	Asset Class	Trailing Performance and Risk				Management			Style		Expense		ESG Metrics				
			1 Yr	3 Yr	5 Yr	10 Yr	Pass/ Fail	Std Dev 3 Yr %	Beta 3 Yr %	Tenure	Pass/ Fail	Style Box	Pass/ Fail	Exp Ratio	Pass/ Fail	Sustain. Rating	Commit. Level	Carbon Risk
US Stock																		
T. Rowe Price Dividend Growth Advisor	TADGX	Large Blend	26.22	15.02	14.99	15.39	✓	16.65	0.86	21.52	✓	☐	✓	0.90	✓	4	-	Low Risk
<i>percentile rank</i>			81	49	63	55												
<i># of funds in category</i>			1,391	1,267	1,112	819												
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BNY Mellon S&P 500 Index	PEOPX	Large Blend Index	29.37	15.41	16.31	16.06	✓	18.82	1.00	0.93	✗	☐	✓	0.50	✓	3	-	Low Risk
<i>percentile rank</i>			60	41	38	37												
<i># of funds in category</i>			1,391	1,267	1,112	819												
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Fidelity® Contrafund®	FCNTX	Large Growth	24.34	18.36	20.56	17.96	✓	19.54	0.96	31.06	✓	☐	✓	0.86	✓	3	1-Low	Low Risk
<i>percentile rank</i>			69	62	49	52												
<i># of funds in category</i>			1,240	1,138	1,033	766												
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American Funds Washington Mutual R4	RWMEX	Large Value	27.89	12.06	13.81	14.17	✓	17.27	0.90	24.27	✓	☐	✗	0.62	✓	2	1-Low	Low Risk
<i>percentile rank</i>			72	84	81	79												
<i># of funds in category</i>			1,391	1,267	1,112	819												
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Neuberger Berman Mid Cap Growth R3	NMGRX	Mid-Cap Growth	30.38	18.12	18.89	15.54	✓	22.24	0.99	18.68	✓	☐	✓	1.32	✓	4	-	Low Risk
<i>percentile rank</i>			58	47	44	73												
<i># of funds in category</i>			586	551	497	388												
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American Century Mid Cap Value Inv	ACMVX	Mid-Cap Value	34.01	8.54	9.41	13.27	✓	20.95	0.88	17.51	✓	☐	✓	0.98	✓	3	-	Medium Risk
<i>percentile rank</i>			91	69	75	42												
<i># of funds in category</i>			410	393	350	252												
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Carillon Eagle Small Cap Growth R3	HSRRX	Small Growth	29.62	11.19	14.66	14.05	✓	25.57	0.98	25.77	✓	☐	✓	1.31	✓	2	-	-
<i>percentile rank</i>			86	79	82	87												
<i># of funds in category</i>			613	577	513	390												
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Delaware Small Cap Value A	DEV LX	Small Value	61.34	7.47	9.99	12.28	✓	27.77	1.01	24.43	✓	☐	✓	1.14	✓	3	-	-
<i>percentile rank</i>			54	61	54	56												
<i># of funds in category</i>			434	406	383	290												
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Non-US Stock																		
JPMorgan Emerging Markets Equity R4	JHUKX	Diversified Emerging Mkts	14.79	16.17	-	-	✓	20.64	1.03	16.09	✓	☐	✓	1.04	✓	4	-	Low Risk
<i>percentile rank</i>			79	10	-	-												
<i># of funds in category</i>			786	708	598	319												
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BNY Mellon International Stock Index Inv	DIISX	Foreign Large Blend Index	24.55	7.05	8.23	7.71	✓	17.60	0.97	0.93	✗	☐	✓	0.60	✓	3	-	Low Risk
<i>percentile rank</i>			50	64	59	64												
<i># of funds in category</i>			769	696	596	402												
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Invesco Oppenheimer International Gr R	OIGNX	Foreign Large Growth	23.17	12.60	9.91	9.58	✓	18.54	0.99	25.53	✓	☐	✓	1.38	✗	4	-	Low Risk
<i>percentile rank</i>			28	48	82	68												
<i># of funds in category</i>			439	383	322	225												
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Vanguard International Value Inv	VTRIX	Foreign Large Value	30.88	6.94	8.49	7.89	✓	20.03	1.10	11.35	✓	☐	✓	0.35	✓	2	-	Medium Risk
<i>percentile rank</i>			41	12	4	13												
<i># of funds in category</i>			349	319	271	181												
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American Funds New Perspective R4	RNPEX	World Stock	29.27	18.41	17.87	15.37	✓	19.23	1.04	20.84	✓	—	✓	0.77	✓	2	2-Basic	Low Risk
<i>percentile rank</i>			23	32	31	30												
<i># of funds in category</i>			342	298	254	159												

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			1 Yr	3 Yr	5 Yr	10 Yr	Pass/ Fail	Std Dev 3 Yr %	Beta 3 Yr %	Tenure	Pass/ Fail	Style Box	Pass/ Fail	Exp Ratio	Sustain. Rating	Commit. Level

Alternative																		
PIMCO Commodity Real Ret Strat A	PCRAX	Commodities Broad Basket	50.10	9.57	6.07	-1.96	✓	18.67	1.19	6.75	✓	—	—	1.27	✓	—	—	—
<i>percentile rank</i>			20	11	29	50												
<i># of funds in category</i>			113	108	85	52												
! T. Rowe Price Global Real Estate Adv	PAGEX	Global Real Estate	32.08	8.83	5.42	8.64	✓	18.14	0.89	0.50	✗	☒	✓	1.15	✓	2	—	Medium Risk
<i>percentile rank</i>			16	36	56	48												
<i># of funds in category</i>			201	197	175	110										08-31-2021	—	06-30-2021

Fixed Income																		
Eaton Vance Income Fund of Boston A	EVIBX	High Yield Bond	10.51	5.86	5.32	6.41	✓	8.61	0.91	6.91	✓	—	—	1.00	✓	—	—	—
<i>percentile rank</i>			47	51	60	51												
<i># of funds in category</i>			680	633	555	361												
BlackRock Inflation Protected Bond Inv A	BPRAX	Inflation-Protected Bond	5.32	7.31	4.14	2.67	✓	4.20	1.02	4.63	✓	—	—	0.69	✓	—	—	—
<i>percentile rank</i>			51	31	43	50												
<i># of funds in category</i>			206	202	176	125												
Baird Aggregate Bond Inv	BAGSX	Intermediate-Term Bond	-0.54	5.67	3.18	3.64	✓	3.95	1.07	21.02	✓	☒	—	0.55	✓	—	1-Low	—
<i>percentile rank</i>			53	28	33	14												
<i># of funds in category</i>			411	378	333	249											10-08-2021	—
PIMCO Income A	PONAX	Multisector Bond	6.57	5.24	4.92	6.67	✓	5.75	0.80	14.52	✓	—	—	1.02	✓	—	—	—
<i>percentile rank</i>			48	54	27	3												
<i># of funds in category</i>			337	275	241	131												
Federated Hermes Govt Ultrashort Svc	FEUSX	Ultrashort Bond	-0.02	1.29	1.24	0.72	✗	0.51	0.04	24.24	✓	—	—	0.36	✓	—	—	—
<i>percentile rank</i>			87	76	79	80												
<i># of funds in category</i>			241	213	169	88												
- Templeton Global Bond A	TPINX	World Bond	-3.87	-2.30	0.55	1.64	✗	5.22	-0.39	19.76	✓	—	✓	0.92	✓	—	—	—
<i>percentile rank</i>			96	95	94	91												
<i># of funds in category</i>			348	307	280	120												

Target Date																		
American Funds 2010 Trgt Date Retire R4	RDATX	Target Date	11.12	7.65	6.71	7.34	✓	7.28	0.89	9.75	✓	—	✗	0.65	✓	—	—	—
<i>percentile rank</i>			38	62	68	46												
<i># of funds in category</i>			121	114	78	53												
American Funds 2015 Trgt Date Retire R4	RDBTX	Target Date	12.57	8.27	7.32	8.10	✓	8.08	0.90	9.75	✓	—	✗	0.65	✓	2	—	—
<i>percentile rank</i>			48	57	60	44												
<i># of funds in category</i>			117	111	77	45										11-30-2020	—	—
American Funds 2020 Trgt Date Retire R4	RDCTX	Target Date	13.06	8.62	7.99	8.98	✓	8.55	0.86	9.75	✓	—	✓	0.66	✓	2	—	—
<i>percentile rank</i>			65	57	60	35												
<i># of funds in category</i>			175	162	123	67										11-30-2020	—	—
American Funds 2025 Trgt Date Retire R4	RDDTX	Target Date	14.94	9.81	9.34	10.48	✓	10.04	0.89	9.75	✓	—	✓	0.68	✓	2	—	Low Risk
<i>percentile rank</i>			62	36	41	6												
<i># of funds in category</i>			224	206	165	91										08-31-2021	—	09-30-2020

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																	Updated	Updated	Updated
American Funds 2030 Trgt Date Retire R4	RDETX	Target Date	17.74	10.71	10.74	11.55	✔	11.92	0.92	9.75	✔	—	✔	0.70	✔	2	—	Low Risk	
<i>percentile rank</i>			64	28	20	4													
<i># of funds in category</i>			225	205	165	87									08-31-2021	—	06-30-2021		
American Funds 2035 Trgt Date Retire R4	RDFTX	Target Date	21.76	12.25	12.42	12.47	✔	14.38	0.97	9.75	✔	—	✖	0.72	✔	2	—	Low Risk	
<i>percentile rank</i>			45	13	8	3													
<i># of funds in category</i>			217	203	162	88									08-31-2021	—	06-30-2021		
American Funds 2040 Trgt Date Retire R4	RDGTX	Target Date	23.95	12.95	13.12	12.91	✔	15.46	0.94	9.75	✔	—	✖	0.73	✔	2	—	Low Risk	
<i>percentile rank</i>			50	12	8	3													
<i># of funds in category</i>			219	205	165	87									08-31-2021	—	06-30-2021		
American Funds 2045 Trgt Date Retire R4	RDHTX	Target Date	24.57	13.20	13.40	13.06	✔	15.78	0.90	9.75	✔	—	✖	0.74	✔	2	—	Low Risk	
<i>percentile rank</i>			79	12	5	3													
<i># of funds in category</i>			217	203	162	87									08-31-2021	—	06-30-2021		
American Funds 2050 Trgt Date Retire R4	RDITX	Target Date	25.01	13.36	13.59	13.16	✔	16.04	0.90	9.75	✔	—	✖	0.74	✔	2	—	Low Risk	
<i>percentile rank</i>			82	11	5	4													
<i># of funds in category</i>			219	205	165	79									08-31-2021	—	06-30-2021		
American Funds 2055 Trgt Date Retire R4	RDJTX	Target Date	25.07	13.38	13.59	13.16	✔	16.05	0.90	9.75	✔	—	✔	0.74	✔	2	—	Low Risk	
<i>percentile rank</i>			82	11	5	5													
<i># of funds in category</i>			217	203	159	66									08-31-2021	—	06-30-2021		
American Funds 2060 Trgt Date Retire R4	RDKTX	Target Date	25.17	13.37	13.57	—	✔	16.04	1.38	6.52	✔	—	✔	0.75	✔	2	—	Low Risk	
<i>percentile rank</i>			83	13	8	—													
<i># of funds in category</i>			211	188	125	—									08-31-2021	—	06-30-2021		
American Funds 2065 Trgt Date Retire R4	RDLTX	Target Date	25.21	—	—	—	—	—	—	1.75	✖	—	✔	0.76	✔	2	—	Low Risk	
<i>percentile rank</i>			84	—	—	—													
<i># of funds in category</i>			120	17	—	—									08-31-2021	—	06-30-2021		
Balanced																			
BlackRock Global Allocation Inv A	MDLOX	World Allocation	16.32	10.87	9.01	7.80	✔	12.32	1.04	4.75	✔	☒	✔	1.08	✔	3	—	Low Risk	
<i>percentile rank</i>			63	4	16	41													
<i># of funds in category</i>			460	431	375	256									08-31-2021	—	06-30-2021		