

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). ▶ Complete all entries in accordance with the instructions to the Form 5500.	OMB Nos. 1210-0110 1210-0089 2021 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2021 or fiscal plan year beginning <u>01/01/2021</u> and ending <u>12/31/2021</u>	

A This return/report is for: ☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)

☒ a single-employer plan ☐ a DFE (specify) _____

B This return/report is: ☐ the first return/report ☐ the final return/report

☐ an amended return/report ☐ a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here. ▶ ☐

D Check box if filing under: ☒ Form 5558 ☐ automatic extension ☐ the DFVC program

☐ special extension (enter description) _____

E If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. ▶ ☐

Part II	Basic Plan Information—enter all requested information	
1a Name of plan <u>CARLISLE ETCETERA LLC 401(K) PLAN</u>	1b Three-digit plan number (PN) ▶	<u>001</u>
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>CARLISLE ETCETERA LLC</u> <u>423 WEST 55TH STREET FL 3</u> <u>NEW YORK, NY 10019</u>	1c Effective date of plan <u>01/01/1991</u>	2b Employer Identification Number (EIN) <u>45-5022305</u>
	2c Plan Sponsor's telephone number <u>212-246-2555</u>	2d Business code (see instructions) <u>424300</u>

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	<u>10/17/2022</u>	<u>AVA TYSON-MASON</u>
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2021)
v. 210624

3a Plan administrator's name and address ☒ Same as Plan Sponsor		3b Administrator's EIN	
		3c Administrator's telephone number	
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN	
5 Total number of participants at the beginning of the plan year		5	238
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d).			
a(1) Total number of active participants at the beginning of the plan year.....		6a(1)	150
a(2) Total number of active participants at the end of the plan year		6a(2)	73
b Retired or separated participants receiving benefits.....		6b	5
c Other retired or separated participants entitled to future benefits		6c	90
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d	168
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e	0
f Total. Add lines 6d and 6e		6f	168
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g	159
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h	0
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7	
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2F 2G 2J 2K 2T 3D			
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:			
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)			
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary		b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ <u>0</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)	

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2021
		This Form is Open to Public Inspection.

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan CARLISLE ETCETERA LLC 401(K) PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 CARLISLE ETCETERA LLC	D Employer Identification Number (EIN) 45-5022305	

Part I	Service Provider Information (see instructions)
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You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions)..... ☒ Yes ☐ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL
04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

NEWPORT CAPITAL GROUP

86-1109193

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	24400	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 60 64 65	RECORDKEEPER	-2342	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
AM CENT EMG MKTS INV - AMERICAN CE 44-0619208	0.35%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
DE IVY SM CP GRTH I - WI SERVICES P.O. BOX 29217 SHAWNEE MISSION, KS 66201	0.10%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
J H ENTERPRISE T - JANUS SERVICES 43-1804048	0.35%	

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
MFS VALUE R3 - MFS SERVICE CENTER 04-2865649	0.50%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
PIMCO REAL RTN BD AD - DST ASSET M 430 W 7TH STREET STE 219432 KANSAS CITY, MO 64105	0.25%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP OVERSEAS STOCK - T. ROWE PRICE 52-2269240	0.15%	

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE BAL ADV - T. ROWE PRICE 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2010 ADV - T. ROWE PRIC 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2015 ADV - T. ROWE PRIC 52-2269240	0.40%	

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIRE 2020 ADV - T. ROWE PRIC 52-2269240	0.40%

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIRE 2025 ADV - T. ROWE PRIC 52-2269240	0.40%

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIRE 2030 ADV - T. ROWE PRIC 52-2269240	0.40%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2035 ADV - T. ROWE PRIC 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2040 ADV - T. ROWE PRIC 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2045 ADV - T. ROWE PRIC 52-2269240	0.40%	

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2050 ADV - T. ROWE PRIC 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2055 ADV - T. ROWE PRIC 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2060 ADV - T. ROWE PRIC 52-2269240	0.40%	

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
TRP RETIRE 2065 ADV - T. ROWE PRIC 52-2269240	0.40%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
VICTORY S ESTB VAL A - FIS INVESTO FAITH INVESTOR SERVICES, LLC 14785 PRESTON ROAD, SUITE 1000 DALLAS, TX 75254	0.50%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
WA CORE BOND FI - BNY MELLON INVES 301 BELLEVUE PARKWAY WILMINGTON, DE 19809	0.40%	

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE H (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan CARLISLE ETCETERA LLC 401(K) PLAN	B Three-digit plan number (PN) ►	001
C Plan sponsor's name as shown on line 2a of Form 5500 CARLISLE ETCETERA LLC	D Employer Identification Number (EIN) 45-5022305	

Part I	Asset and Liability Statement
---------------	--------------------------------------

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a	0	0
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	0	0
(2) Participant contributions.....	1b(2)	0	0
(3) Other	1b(3)	0	0
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	5977	11142
(2) U.S. Government securities	1c(2)	0	0
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	0	0
(B) All other	1c(3)(B)	0	0
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	0	0
(B) Common	1c(4)(B)	0	0
(5) Partnership/joint venture interests	1c(5)	0	0
(6) Real estate (other than employer real property)	1c(6)	0	0
(7) Loans (other than to participants)	1c(7)	0	0
(8) Participant loans	1c(8)	119634	40958
(9) Value of interest in common/collective trusts	1c(9)	1102046	662658
(10) Value of interest in pooled separate accounts	1c(10)	0	0
(11) Value of interest in master trust investment accounts	1c(11)	0	0
(12) Value of interest in 103-12 investment entities	1c(12)	0	0
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	9113021	7795184
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)	0	0
(15) Other.....	1c(15)	0	0

		(a) Beginning of Year	(b) End of Year
1d Employer-related investments:			
(1) Employer securities.....	1d(1)	0	0
(2) Employer real property.....	1d(2)	0	0
e Buildings and other property used in plan operation	1e	0	0
f Total assets (add all amounts in lines 1a through 1e)	1f	10340678	8509942

Liabilities

g Benefit claims payable	1g	0	0
h Operating payables	1h	0	0
i Acquisition indebtedness.....	1i	0	0
j Other liabilities.....	1j	0	0
k Total liabilities (add all amounts in lines 1g through 1j)	1k	0	0

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	10340678	8509942
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Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

Income

		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	0	
(B) Participants	2a(1)(B)	262721	
(C) Others (including rollovers).....	2a(1)(C)	11450	
(2) Noncash contributions.....	2a(2)	0	274171
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	1	
(B) U.S. Government securities	2b(1)(B)	0	
(C) Corporate debt instruments	2b(1)(C)	0	
(D) Loans (other than to participants)	2b(1)(D)	0	
(E) Participant loans.....	2b(1)(E)	6215	
(F) Other	2b(1)(F)	0	
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		6216
(2) Dividends: (A) Preferred stock.....	2b(2)(A)	0	582377
(B) Common stock	2b(2)(B)	0	
(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	582377	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		582377
(3) Rents	2b(3)		0
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	0	0
(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	0	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	0	0
(B) Other	2b(5)(B)	0	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		-24354
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		0
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		0
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		0
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds).....	2b(10)		658772
c Other income.....	2c		0
d Total income. Add all income amounts in column (b) and enter total.....	2d		1497182
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	3301893	
(2) To insurance carriers for the provision of benefits.....	2e(2)	0	
(3) Other.....	2e(3)	0	
(4) Total benefit payments. Add lines 2e(1) through (3).....	2e(4)		3301893
f Corrective distributions (see instructions).....	2f		1303
g Certain deemed distributions of participant loans (see instructions).....	2g		1376
h Interest expense.....	2h		0
i Administrative expenses: (1) Professional fees.....	2i(1)	0	
(2) Contract administrator fees.....	2i(2)	0	
(3) Investment advisory and management fees.....	2i(3)	1288	
(4) Other.....	2i(4)	22058	
(5) Total administrative expenses. Add lines 2i(1) through (4).....	2i(5)		23346
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		3327918
Net Income and Reconciliation			
k Net income (loss). Subtract line 2j from line 2d.....	2k		-1830736
l Transfers of assets:			
(1) To this plan.....	2l(1)		0
(2) From this plan.....	2l(2)		0

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☒ Unmodified (2) ☐ Qualified (3) ☐ Disclaimer (4) ☐ Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☒ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☐ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: DORFMAN ABRAMS MUSIC LLC

(2) EIN: 22-1655803

d The opinion of an independent qualified public accountant is **not attached** because:

(1) ☐ This form is filed for a CCT, PSA, or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.).....

	Yes	No	Amount
4a		X	

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		1000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)		X	
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		X	
4k		X	
l Has the plan failed to provide any benefit when due under the plan?		X	
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)		X	
4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.		X	
4n		X	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan <u>CARLISLE ETCETERA LLC 401(K) PLAN</u>	B Three-digit plan number (PN) ▶ <u>001</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>CARLISLE ETCETERA LLC</u>	D Employer Identification Number (EIN) <u>45-5022305</u>

Part I	Distributions
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All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....	1	
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): <u>04-6568107</u>		
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.		
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year	3	

Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)
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4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?	☐ Yes	☐ No	☐ N/A
If the plan is a defined benefit plan, go to line 8.			
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.			
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)	6a		
b Enter the amount contributed by the employer to the plan for this plan year	6b		
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount)	6c		
If you completed line 6c, skip lines 8 and 9.			
7 Will the minimum funding amount reported on line 6c be met by the funding deadline?	☐ Yes	☐ No	☐ N/A
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?	☐ Yes	☐ No	☐ N/A

Part III	Amendments
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9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box.....	☐ Increase	☐ Decrease	☐ Both	☐ No
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Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.
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10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?	☐ Yes	☐ No
11 a Does the ESOP hold any preferred stock?	☐ Yes	☐ No
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)	☐ Yes	☐ No
12 Does the ESOP hold any stock that is not readily tradable on an established securities market?	☐ Yes	☐ No

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Schedule R (Form 5500) 2021
v. 201209

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

- 14** Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

14a

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14b

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14c

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year.....

15a

b The corresponding number for the second preceding plan year.....

15b

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year.....

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16b

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:

Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:

☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?

☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): _____

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____

CARLISLE
etcetera

401(k) Plan

***FINANCIAL STATEMENTS
AND SUPPLEMENTAL SCHEDULE
WITH INDEPENDENT AUDITORS' REPORT***

YEARS ENDED DECEMBER 31, 2021 AND 2020

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INDEPENDENT AUDITORS' REPORT

To the Trustees
Carlisle Etcetera, LLC 401(k) Plan
New York, New York

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit for the 2021 Financial Statements

We have performed an audit of the accompanying financial statements of Carlisle Etcetera, LLC 401(k) Plan, an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) [ERISA Section 103(a)(3)(C) audit]. The financial statements comprise the statement of net assets available for benefits as of December 31, 2021, and the related statement of changes in net assets available for benefits for the year then ended and the related notes to the financial statements (2021 financial statements).

Management, having determined it is permissible in the circumstances, has elected to have the audit of Carlisle Etcetera, LLC 401(k) Plan's 2021 financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the plan (investment information) by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA (qualified institution).

Management has obtained certifications from a qualified institution as of and for the year ended December 31, 2021, stating that the certified investment information, as described in Note D to the financial statements, is complete and accurate.

Opinion on the 2021 Financial Statements

In our opinion, based on our audit and on the procedures performed as described in the Auditors' Responsibilities for the Audit of the 2021 Financial Statements section—

- the amounts and disclosures in the accompanying 2021 financial statements other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.
- the information in the accompanying 2021 financial statements related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Basis for Opinion on the 2021 Financial Statements

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Our responsibilities under those standards are further described in the Auditors' Responsibilities for the Audit of the 2021 Financial Statements section of our report. We are required to be independent of Carlisle Etcetera, LLC 401(k) Plan and to meet our other ethical responsibilities in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the 2021 Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about Carlisle Etcetera, LLC 401(k) Plan's ability to continue as a going concern for one year after the date the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments; administering the plan; and determining that the plan's transactions that are presented and disclosed in the financial statements are in conformity with the plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditors' Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit of the 2021 Financial Statements section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of Carlisle Etcetera, LLC 401(k) Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about Carlisle Etcetera, LLC 401(k) Plan's ability to continue as a going concern for a reasonable period of time.

Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of accounting principles generally accepted in the United States of America.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Other Matters

2021 Supplemental Schedules Required by ERISA

The supplemental Schedule of Assets Held for Investment Purposes at the end of the Plan year is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedule, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with generally accepted auditing standards. For information included in the supplemental schedule that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, other than the information agreed to or derived from the certified investment information, including its form and content, is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion—

- the form and content of the supplemental schedule, other than the information in the supplemental schedule that agreed to or is derived from the certified investment information, is presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.
- the information in the supplemental schedule related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Auditors' Report on the 2020 Financial Statements

We were engaged to audit the 2020 financial statements of Carlisle Etcetera, LLC 401(k) Plan. As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA, the Plan administrator instructed us not to perform and we did not perform any auditing procedures with respect to the information certified by a qualified institution. In our report dated November 10, 2021, we indicated that (a) because of the significance of the information that we did not audit, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and, accordingly, we did not express an opinion on the 2020 financial statements, and (b) the form and content of the information included in the 2020 financial statements other than that derived from the certified information were presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

Dorfman Abrams Munis, LLC

Saddle Brook, New Jersey

October 17, 2022

CARLISLE ETCETERA, LLC 401(K) PLAN

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS

	December 31,	
	2021	2020
Assets:		
Investments:		
Investments at fair value	\$ 7,806,326	\$ 9,118,998
Investments at contract value	<u>656,813</u>	<u>1,064,753</u>
Total investments	<u>8,463,139</u>	<u>10,183,751</u>
Receivables:		
Notes receivable from participants	<u>40,958</u>	<u>119,635</u>
Total assets	<u>8,504,097</u>	<u>10,303,386</u>
Liabilities:		
Excess contributions payable	<u></u>	<u>2,218</u>
Net assets available for benefits	<u>\$ 8,504,097</u>	<u>\$ 10,301,168</u>

The accompanying notes are an integral part
of these financial statements.

CARLISLE ETCETERA, LLC 401(K) PLAN

STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS

	Year ended December 31,	
	2021	2020
Additions to net assets attributed to:		
Investment income:		
Net appreciation in fair value of investments	\$ 658,773	\$ 918,237
Interest and dividends	589,470	490,993
Total investment income	1,248,243	1,409,230
Interest on notes receivable from participants	6,215	5,641
Total interest	6,215	5,641
Contributions:		
Participants	262,721	364,920
Rollover	11,450	17,092
Total contributions	274,171	382,012
Total additions	1,528,629	1,796,883
Deductions from net assets attributed to:		
Benefits paid to participants	3,300,979	1,132,122
Deemed distributions	1,376	
Corrective distributions		2,218
Administrative expenses	23,345	23,847
Total deductions	3,325,700	1,158,187
Net increase (decrease) in net assets available for benefits	(1,797,071)	638,696
Net assets available for benefits, beginning of year	10,301,168	9,662,472
Net assets available for benefits, end of year	<u>\$ 8,504,097</u>	<u>\$ 10,301,168</u>

The accompanying notes are an integral part
of these financial statements.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

A. Description of Plan

The following description of Carlisle Etcetera, LLC 401(k) Plan (the Plan) provides only general information and is presented to assist in understanding the Plan's financial statements. The financial statements and notes are representations of the Plan's management, which is responsible for their integrity and objectivity. Participants should refer to the Plan Agreement for a more complete description of the Plan's provisions.

1. General - The Plan is a defined contribution plan covering all employees, who are not leased, not nonresident aliens with no U.S. source income, and are not covered by a collective bargaining agreement, of Carlisle Etcetera, LLC (the Plan Administrator) and any business which adopts this Plan with the Company's consent (collectively, the Companies). Employees are eligible to become participants on the first day of the first month following the date in which the employee completes eight months of service. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

Service for purposes of eligibility and vesting shall include service with the following predecessor employers: Casuals Etcetera, Inc.; William Rondina, Inc.; The Connaught Group Limited; and Tom James Company.

2. CARES Act, SECURE Act and Miners Act - The Plan has adopted certain provisions of the Coronavirus Aid, Relief, and Economic Security Act ("CARES Act") that was signed into law on March 27, 2020, which were immediately available for coronavirus-related distributions, suspended participant loan payments and increased loan limits, and waiver of required minimum distributions that were due during 2020. In addition, the Plan has adopted certain provisions under the Setting Every Community Up for Retirement Enhancement Act of 2018 (SECURE Act) and the Bipartisan American Miners Act of 2018 effective as of January 1, 2020. The Plan intends to formally execute the required Plan amendments for these provisions by the last day of the Plan year beginning on or after January 1, 2025.

The following descriptions of the Plan below have been updated with the provisions of the CARES, SECURE and Miners Acts that impact the Plan.

3. Contributions - Each participant may defer the lesser of 25% of compensation or the applicable limit under Section 402(g) of the Internal Revenue Code (IRC) by contributing via regular payroll withholding. The Companies are not required to make a matching contribution. The Companies may contribute amounts at their sole discretion.
4. Participant accounts - Each participant's account is credited with the participant's contribution and allocations of (a) the Companies' contribution and, (b) Plan earnings, and charged with an allocation of administrative expenses. Allocations are based on participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

A. Description of Plan (continued)

5. Vesting - Participants are immediately vested in their contributions plus actual earnings thereon. Each participant has a vested interest in the Companies' discretionary contributions portion of his/her account plus actual earnings thereon based on years of service, as defined. A participant is vested as follows:

<u>Years of vesting service</u>	<u>Percentage</u>
Less than 2 years	0
2 years	20
3 years	40
4 years	60
5 years	80
6 years or more	100

Participants also become fully vested upon attaining their normal retirement date or in the event of death or disability. A participant's vesting years shall not include any service prior to January 1, 1990.

6. Notes receivable from participants - Subject to the approval of the Plan Administrator, a participant in active service may borrow from their fund accounts a minimum of \$1,000 up to a maximum equal to the lesser of \$50,000 or 50% of their vested account balance. The loans are secured by the vested balance in the participant's account and bear interest at a rate determined by the Plan Administrator. Principal and interest are paid ratably through payroll deductions over a period not exceeding five years, unless the loan is used for the purchase of a principal residence, which repayment term cannot exceed ten years.

The CARES Act made loan relief available to qualified plan participants. This relief included a temporary increase in the participant loan limit for qualified individuals to the lesser of 50% of their vested account balance up to \$100,000 (previously \$50,000) on loans issued between March 27, 2020 through September 23, 2020. The CARES Act also provided that any loan payments due between March 27, 2020 and December 31, 2020 could be delayed for up to one year and the five-year repayment period will disregard the 2020 year.

7. Payment of benefits - A participant who ceases to be an employee for any reason other than death shall be entitled to receive their vested accrued benefit. In the event of a participant's death or disability, the participant's beneficiary shall be entitled to receive the participant's entire accrued benefit. A participant or beneficiary who is entitled to receive a distribution may elect to receive either (a) a lump sum amount equal to the value of his or her account or, (b) periodic payments for a number of years equal to the participant's life expectancy or over the joint life expectancy of the participant and their beneficiary. If the separated participant's vested account balance is less than \$5,000, then it will be directly rolled over to an Individual Retirement Account and if it is less than \$1,000, then it will be distributed as a lump sum distribution without consent. Prior to such distribution, a participant still has the right to elect either a rollover or lump sum payment.

The CARES Act enabled Plan participants to waive required minimum distributions during 2020.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

A. Description of Plan (continued)

8. Hardship distributions - Participants are allowed to receive hardship distributions for certain events as described in the Plan. Hardship distributions can be made from a participant's salary deferrals and the matching contributions allocated to their account.

The CARES Act allowed qualified individuals to take a coronavirus-related hardship distribution of up to \$100,000 from the Plan. Eligible hardship distributions could be taken up to December 31, 2020 and the distributions were not subject to the customary 10% early withdrawal penalty. The tax associated with a coronavirus distribution can be repaid by the participant over a three-year period.

9. Forfeited accounts - For the years ended December 31, 2021 and 2020, there were no forfeited non-vested accounts. These accounts would have been used to reduce administrative fees paid by the Plan sponsor on behalf of the Plan and employer's contributions.

10. Plan expenses - All administrative expenses shall be paid out of the Plan unless paid by the Companies.

B. Summary of accounting policies

Basis of accounting

The financial statements of the Plan are prepared under the accrual method of accounting. These accounting policies conform to accounting principles generally accepted in the United States of America as promulgated in FASB Accounting Standards Codification (the Codification) and have been consistently applied in the preparation of the financial statements.

Estimates

The preparation of financial statements requires the Plan Administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Investment valuation and income recognition

The Plan's investments are stated at fair value with the exception of fully benefit responsive investment contracts, which are reported at contract value (see Note H).

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the Plan year.

Notes receivable from participants

Loans are valued at the unpaid balances plus any unpaid accrued interest. In the event of a default, the participant's account balance is reduced by the amount of the unpaid loan balance.

Excess contributions payable

In order to pass the required IRS non-discrimination tests for the Plan, participants who exceeded the maximum contributions allowed by the IRS were refunded the excess amounts by March 15 of the following year. Amounts payable to participants for excess contributions are recorded as a liability with a corresponding reduction to contributions. For the years ended December 31, 2021 and 2020, there were \$0 and \$2,218 of excess contributions payable, respectively.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

B. Summary of accounting policies (continued)

Payment of benefits

Benefit payments are recorded when paid.

Uncertain tax positions

As of December 31, 2021, management believes that based on evaluation of the Plan's tax positions that any liability as a result of uncertain tax positions would not be material. Management continually evaluates expiring statutes of limitations, changes in tax law, and new authoritative rulings to assist in evaluating the Plan's tax positions. Accrued interest and penalties associated with uncertain tax positions, if any, would be recognized as part of the income tax provision. Income tax returns are filed in the U.S. federal jurisdiction. U.S. federal income tax returns prior to fiscal year 2018 are closed.

C. Risks and uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such change could materially affect the amounts reported in the statement of net assets available for benefits. The Plan maintains its investments with an investment manager. Exposure to credit risk is reduced by placing such investments in high quality financial institutions and by following an investment strategy which utilizes a wide range of diversified funds.

The Plan has reviewed its operations in light of the COVID-19 pandemic in order to determine the financial impact. Economic uncertainties have arisen which may impact investment income and other Plan transactions. Other financial impact could occur though such potential impact is unknown at this time. In addition, the continued Federal and State responses to the pandemic could change the analysis done by the Plan, and that change could be material.

D. Certification by Trustee

We have been informed by the Plan administrator that Fidelity Management Trust Company held the Plan's investment assets and executed investment transactions for the years ended December 31, 2021 and 2020. The Plan administrator has obtained certifications from the trustee, as of and for the years ended December 31, 2021 and 2020, that the information provided to the Plan administrator by the trustee is complete and accurate. The following account balances and transactions were obtained from the statements certified by Fidelity Management Trust Company:

Statement of net assets available for benefits:

Investments

Notes receivable from participants

Statement of changes in net assets available for Plan benefits:

Net appreciation in fair value of investments

Interest and dividend income

Interest on notes receivable from participants

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

E. Plan termination

Although they have not expressed any intent to do so, the Companies have the right under the Plan to discontinue contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

F. Transactions with parties-in-interest

The Companies pay for professional fees related to the maintenance of the Plan. Fees paid on behalf of the Plan for the years ended December 31, 2021 and 2020 were \$15,500 and \$14,500, respectively. The Plan administrator also provides certain accounting and administrative services to the Plan for which no fees are charged.

The Plan allows for transactions with certain parties who may perform services or have fiduciary responsibilities to the Plan. These transactions are exempt from prohibited transaction rules. The assets of the Plan invested with Fidelity Investments as of December 31, 2021 and 2020 are considered party-in-interest investments since Fidelity Management Trust Company serves as the Plan's Trustee and Fidelity Investments Institutional Operations Company, Inc. serves as the Plan's record-keeper and is also paid investment management fees as a percentage of assets in certain fund investments.

The Plan paid direct fees to all service providers of \$23,345 and \$23,847 for the years ended December 31, 2021 and 2020, respectively, of which they paid (were reimbursed) Fidelity fees of \$(1,054) and \$1,025, respectively. The indirect fees paid by the Plan for investment management services are included as a reduction in the net appreciation in fair value of investments.

G. Investments at contract value - Fidelity Managed Income Portfolio

The Fidelity Managed Income Portfolio is a fully benefit-responsive investment contract managed by Fidelity Management Trust Company as a common collective trust. The Portfolio is a pooled stable value fund, seeking to preserve principal and maintain a stable net asset value of \$1 per share while earning a level of interest income consistent with principal preservation. The Portfolio is invested in fully benefit-responsive investment contracts issued by insurance companies and other financial institutions ("Contracts"), fixed income securities and money market funds. Under the terms of the Contracts, the assets are invested in fixed income securities, including U.S. Treasury and agency bonds, corporate bonds, mortgage and asset-backed securities, collective investment vehicles and shares of investment companies that invest primarily in fixed income securities, and shares of money market funds. Fidelity maintains the contributions in a general account, which is credited with earnings on the underlying investments and charged for participant withdrawals and administrative expenses. The Portfolio is reported in the financial statements at contract value as reported to the Plan by Fidelity. Contract value represents contributions made under contract, plus earnings, less participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investments at contract value. The contract has certain restrictions that impact the ability to collect the full contract value. Plan management believes that the occurrence of events that would cause the Plan to transact at less than contract value is not probable. Fidelity may not terminate the contract at any amount less than contract value.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

H. Fair value measurements of investments

The Plan uses a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets and liabilities (Level 1 measurements).

The three Levels of the fair value hierarchy are as follows:

Level 1 - Inputs that reflect unadjusted quoted prices in active markets for identical assets or liabilities that the Plan has the ability to access at the measurement date;

Level 2 - Inputs other than quoted prices that are observable for the assets or liability either directly or indirectly, including inputs that are not considered to be active;

Level 3 - Inputs that are unobservable.

Inputs are used in applying the various valuation techniques and broadly refer to the assumptions that market participants use to make valuation decisions, including assumptions about risk. Inputs may include price information, volatility statistics, specific and broad criteria data, liquidity statistics, and other factors. An investment's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. However, the determination of what constitutes "observable" requires significant judgment by the Plan. The Plan considers observable data to be that market data which is readily available, regularly distributed or updated, reliable and verifiable, not proprietary, provided by multiple, independent sources that are actively involved in the relevant market. The categorization of an investment within the hierarchy is based upon the pricing transparency of the investment and does not necessarily correspond to the Plan's perceived risk of that investment.

Fair value for the Plan's investment was determined as follows:

Level 1

The fair values of registered investment company shares are determined by obtaining quoted prices on nationally recognized securities exchanges.

The Plan's investments consist of the following at December 31:

December 31, 2021				
Fair market value				
	Level 1	Level 2	Level 3	Total
Registered investment company shares	\$ 7,806,326	\$	\$	\$ 7,806,326
December 31, 2020				
Fair market value				
	Level 1	Level 2	Level 3	Total
Registered investment company shares	\$ 9,118,998	\$	\$	\$ 9,118,998

Gains and losses included in changes in net assets available for benefits for the years ended December 31, 2021 and 2020 are reported in net appreciation in fair value of investments.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

I. Reconciliation of financial statements to Form 5500

The following is a reconciliation of investments per the financial statements at December 31, 2021 and 2020 to Form 5500:

	<u>2021</u>	<u>2020</u>
Common collective trust at fair value on Form 5500	\$ 662,658	\$ 1,102,045
Adjustment from fair value to contract value	<u>(5,845)</u>	<u>(37,292)</u>
Investments at contract value on the financial statements	<u>\$ 656,813</u>	<u>\$ 1,064,753</u>

The following is a reconciliation of net assets available for benefits per the financial statements at December 31, 2021 and 2020 to Form 5500:

	<u>2021</u>	<u>2020</u>
Net assets available for benefits per Form 5500	\$ 8,509,942	\$10,340,678
Adjustment from fair value to contract value	(5,845)	(37,292)
Corrective distributions payable	<u> </u>	<u>(2,218)</u>
Net assets available for benefits per financial statements	<u>\$ 8,504,097</u>	<u>\$10,301,168</u>

The following is a reconciliation of total additions per the financial statements for the years ended December 31, 2021 and 2020, to Form 5500:

	<u>2021</u>	<u>2020</u>
Total income per Form 5500	\$ 1,497,182	\$ 1,821,455
Increase in adjustment from fair value to contract value	<u>31,447</u>	<u>(24,572)</u>
Total additions per financial statements	<u>\$ 1,528,629</u>	<u>\$ 1,796,883</u>

The following is a reconciliation of total deductions from net assets per the financial statements for the years ended December 31, 2021 and 2020, to Form 5500:

	<u>2021</u>	<u>2020</u>
Total expenses per Form 5500	\$ 3,327,918	\$ 1,168,575
Add corrective distributions payable - end of year		2,218
Less corrective distributions payable - beginning of year	<u>(2,218)</u>	<u>(12,606)</u>
Total deductions per financial statements	<u>\$ 3,325,700</u>	<u>\$ 1,158,187</u>

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

J. Tax status

The Plan sponsor adopted a prototype non-standardized safe harbor profit-sharing/401(k) plan which received a favorable opinion letter from the Internal Revenue Service dated March 31, 2008, which states that the Plan is designed in accordance with the applicable sections of the Internal Revenue Code (IRC) and is, therefore, not subject to tax under present income tax law. Although the Plan has been amended since receiving the opinion letter, management believes that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believes that the Plan is qualified, and the related trust is tax-exempt. Management is not aware of any course of action or series of events that have occurred that might adversely affect the Plan's qualified status.

K. Subsequent events

Subsequent events have been evaluated through October 17, 2022, which is the date the financial statements were available to be issued. The Plan is not aware of any material subsequent events.

SUPPLEMENTAL SCHEDULE

CARLISLE ETCETERA, LLC 401(K) PLAN

Form 5500 - Schedule H - Item 4i - Schedule of Assets Held for Investment Purposes at End of Year
 Identification Number 13-3078384 Plan No. 001
 December 31, 2021

(a)	(b)	(c)	(d)	(e)
	Identity of issue, borrower, Lessor, or Similar Party	Description of investment including maturity date, rate of interest, collateral, par or maturity value	Cost	Current value
Units of common collective trust				
*	Fidelity	Managed Income Portfolio	**	\$ 656,813
	American Beacon	Small Cap Value R6	**	88
	American Century	Central Emerging Market Investment	**	187,595
*	Fidelity	Contrafund	**	1,297,322
*	Fidelity	High Income	**	12,169
*	Fidelity	Government Income	**	95,274
*	Fidelity	Extended Market Index PR	**	63,772
*	Fidelity	International Index PR	**	54,702
*	Fidelity	500 Index	**	739,789
*	Fidelity	Government Money Market	**	11,143
	Ivy	Small Cap Growth I	**	239,453
	Janus	Enterprise T	**	203,418
	MFS	Value R3	**	9,786
	Pimco	Real Return BD AD	**	202,693
	T. Rowe Price	Retirement 2010 - Adv	**	107
	T. Rowe Price	Retirement 2015 - Adv	**	94
	T. Rowe Price	Retirement 2020 - Adv	**	260,627
	T. Rowe Price	Retirement 2025 - Adv	**	795,815
	T. Rowe Price	Retirement 2030 - Adv	**	200,297
	T. Rowe Price	Retirement 2035 - Adv	**	1,251,000
	T. Rowe Price	Retirement 2040 - Adv	**	582,089
	T. Rowe Price	Retirement 2045 - Adv	**	468,524
	T. Rowe Price	Retirement 2050 - Adv	**	58,388
	T. Rowe Price	Retirement 2055 - Adv	**	121,639
	T. Rowe Price	Retirement 2060 - Adv	**	21,207
	T. Rowe Price	Retirement 2065 - Adv	**	428
	T. Rowe Price	Retirement Balance Adv	**	335,890
	T. Rowe Price	Overseas Stock	**	255,865
	Victory	Sycamore Established Value A	**	93,816
	Western Asset	Core Bond FI	**	243,336
				<u>7,806,326</u>
Total investments on the financial statements				8,463,139
*	Notes receivable from participants	Interest rates 4.25% to 6.50% per annum Maturity dates ranging from January 2022 to December 2026		<u>40,958</u>
				<u>\$ 8,504,097</u>

* Indicates Party-In-Interest to the Plan

** Cost is not required for participant directed investments

CARLISLE
etcetera

401(k) Plan

***FINANCIAL STATEMENTS
AND SUPPLEMENTAL SCHEDULE
WITH INDEPENDENT AUDITORS' REPORT***

YEARS ENDED DECEMBER 31, 2021 AND 2020

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INDEPENDENT AUDITORS' REPORT

To the Trustees
Carlisle Etcetera, LLC 401(k) Plan
New York, New York

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit for the 2021 Financial Statements

We have performed an audit of the accompanying financial statements of Carlisle Etcetera, LLC 401(k) Plan, an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) [ERISA Section 103(a)(3)(C) audit]. The financial statements comprise the statement of net assets available for benefits as of December 31, 2021, and the related statement of changes in net assets available for benefits for the year then ended and the related notes to the financial statements (2021 financial statements).

Management, having determined it is permissible in the circumstances, has elected to have the audit of Carlisle Etcetera, LLC 401(k) Plan's 2021 financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the plan (investment information) by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA (qualified institution).

Management has obtained certifications from a qualified institution as of and for the year ended December 31, 2021, stating that the certified investment information, as described in Note D to the financial statements, is complete and accurate.

Opinion on the 2021 Financial Statements

In our opinion, based on our audit and on the procedures performed as described in the Auditors' Responsibilities for the Audit of the 2021 Financial Statements section—

- the amounts and disclosures in the accompanying 2021 financial statements other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.
- the information in the accompanying 2021 financial statements related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Basis for Opinion on the 2021 Financial Statements

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Our responsibilities under those standards are further described in the Auditors' Responsibilities for the Audit of the 2021 Financial Statements section of our report. We are required to be independent of Carlisle Etcetera, LLC 401(k) Plan and to meet our other ethical responsibilities in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the 2021 Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about Carlisle Etcetera, LLC 401(k) Plan's ability to continue as a going concern for one year after the date the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments; administering the plan; and determining that the plan's transactions that are presented and disclosed in the financial statements are in conformity with the plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditors' Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit of the 2021 Financial Statements section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of Carlisle Etcetera, LLC 401(k) Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about Carlisle Etcetera, LLC 401(k) Plan's ability to continue as a going concern for a reasonable period of time.

Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of accounting principles generally accepted in the United States of America.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Other Matters

2021 Supplemental Schedules Required by ERISA

The supplemental Schedule of Assets Held for Investment Purposes at the end of the Plan year is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedule, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with generally accepted auditing standards. For information included in the supplemental schedule that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, other than the information agreed to or derived from the certified investment information, including its form and content, is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion—

- the form and content of the supplemental schedule, other than the information in the supplemental schedule that agreed to or is derived from the certified investment information, is presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.
- the information in the supplemental schedule related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Auditors' Report on the 2020 Financial Statements

We were engaged to audit the 2020 financial statements of Carlisle Etcetera, LLC 401(k) Plan. As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA, the Plan administrator instructed us not to perform and we did not perform any auditing procedures with respect to the information certified by a qualified institution. In our report dated November 10, 2021, we indicated that (a) because of the significance of the information that we did not audit, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and, accordingly, we did not express an opinion on the 2020 financial statements, and (b) the form and content of the information included in the 2020 financial statements other than that derived from the certified information were presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

Dorfman Abrams Munis, LLC

Saddle Brook, New Jersey

October 17, 2022

CARLISLE ETCETERA, LLC 401(K) PLAN

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS

	December 31,	
	2021	2020
Assets:		
Investments:		
Investments at fair value	\$ 7,806,326	\$ 9,118,998
Investments at contract value	<u>656,813</u>	<u>1,064,753</u>
Total investments	<u>8,463,139</u>	<u>10,183,751</u>
Receivables:		
Notes receivable from participants	<u>40,958</u>	<u>119,635</u>
Total assets	<u>8,504,097</u>	<u>10,303,386</u>
Liabilities:		
Excess contributions payable	<u></u>	<u>2,218</u>
Net assets available for benefits	<u>\$ 8,504,097</u>	<u>\$ 10,301,168</u>

The accompanying notes are an integral part
of these financial statements.

CARLISLE ETCETERA, LLC 401(K) PLAN

STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS

	Year ended December 31,	
	2021	2020
Additions to net assets attributed to:		
Investment income:		
Net appreciation in fair value of investments	\$ 658,773	\$ 918,237
Interest and dividends	589,470	490,993
Total investment income	1,248,243	1,409,230
Interest on notes receivable from participants	6,215	5,641
Total interest	6,215	5,641
Contributions:		
Participants	262,721	364,920
Rollover	11,450	17,092
Total contributions	274,171	382,012
Total additions	1,528,629	1,796,883
Deductions from net assets attributed to:		
Benefits paid to participants	3,300,979	1,132,122
Deemed distributions	1,376	
Corrective distributions		2,218
Administrative expenses	23,345	23,847
Total deductions	3,325,700	1,158,187
Net increase (decrease) in net assets available for benefits	(1,797,071)	638,696
Net assets available for benefits, beginning of year	10,301,168	9,662,472
Net assets available for benefits, end of year	<u>\$ 8,504,097</u>	<u>\$ 10,301,168</u>

The accompanying notes are an integral part
of these financial statements.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

A. Description of Plan

The following description of Carlisle Etcetera, LLC 401(k) Plan (the Plan) provides only general information and is presented to assist in understanding the Plan's financial statements. The financial statements and notes are representations of the Plan's management, which is responsible for their integrity and objectivity. Participants should refer to the Plan Agreement for a more complete description of the Plan's provisions.

1. General - The Plan is a defined contribution plan covering all employees, who are not leased, not nonresident aliens with no U.S. source income, and are not covered by a collective bargaining agreement, of Carlisle Etcetera, LLC (the Plan Administrator) and any business which adopts this Plan with the Company's consent (collectively, the Companies). Employees are eligible to become participants on the first day of the first month following the date in which the employee completes eight months of service. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

Service for purposes of eligibility and vesting shall include service with the following predecessor employers: Casuals Etcetera, Inc.; William Rondina, Inc.; The Connaught Group Limited; and Tom James Company.

2. CARES Act, SECURE Act and Miners Act - The Plan has adopted certain provisions of the Coronavirus Aid, Relief, and Economic Security Act ("CARES Act") that was signed into law on March 27, 2020, which were immediately available for coronavirus-related distributions, suspended participant loan payments and increased loan limits, and waiver of required minimum distributions that were due during 2020. In addition, the Plan has adopted certain provisions under the Setting Every Community Up for Retirement Enhancement Act of 2018 (SECURE Act) and the Bipartisan American Miners Act of 2018 effective as of January 1, 2020. The Plan intends to formally execute the required Plan amendments for these provisions by the last day of the Plan year beginning on or after January 1, 2025.

The following descriptions of the Plan below have been updated with the provisions of the CARES, SECURE and Miners Acts that impact the Plan.

3. Contributions - Each participant may defer the lesser of 25% of compensation or the applicable limit under Section 402(g) of the Internal Revenue Code (IRC) by contributing via regular payroll withholding. The Companies are not required to make a matching contribution. The Companies may contribute amounts at their sole discretion.
4. Participant accounts - Each participant's account is credited with the participant's contribution and allocations of (a) the Companies' contribution and, (b) Plan earnings, and charged with an allocation of administrative expenses. Allocations are based on participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

A. Description of Plan (continued)

5. Vesting - Participants are immediately vested in their contributions plus actual earnings thereon. Each participant has a vested interest in the Companies' discretionary contributions portion of his/her account plus actual earnings thereon based on years of service, as defined. A participant is vested as follows:

<u>Years of vesting service</u>	<u>Percentage</u>
Less than 2 years	0
2 years	20
3 years	40
4 years	60
5 years	80
6 years or more	100

Participants also become fully vested upon attaining their normal retirement date or in the event of death or disability. A participant's vesting years shall not include any service prior to January 1, 1990.

6. Notes receivable from participants - Subject to the approval of the Plan Administrator, a participant in active service may borrow from their fund accounts a minimum of \$1,000 up to a maximum equal to the lesser of \$50,000 or 50% of their vested account balance. The loans are secured by the vested balance in the participant's account and bear interest at a rate determined by the Plan Administrator. Principal and interest are paid ratably through payroll deductions over a period not exceeding five years, unless the loan is used for the purchase of a principal residence, which repayment term cannot exceed ten years.

The CARES Act made loan relief available to qualified plan participants. This relief included a temporary increase in the participant loan limit for qualified individuals to the lesser of 50% of their vested account balance up to \$100,000 (previously \$50,000) on loans issued between March 27, 2020 through September 23, 2020. The CARES Act also provided that any loan payments due between March 27, 2020 and December 31, 2020 could be delayed for up to one year and the five-year repayment period will disregard the 2020 year.

7. Payment of benefits - A participant who ceases to be an employee for any reason other than death shall be entitled to receive their vested accrued benefit. In the event of a participant's death or disability, the participant's beneficiary shall be entitled to receive the participant's entire accrued benefit. A participant or beneficiary who is entitled to receive a distribution may elect to receive either (a) a lump sum amount equal to the value of his or her account or, (b) periodic payments for a number of years equal to the participant's life expectancy or over the joint life expectancy of the participant and their beneficiary. If the separated participant's vested account balance is less than \$5,000, then it will be directly rolled over to an Individual Retirement Account and if it is less than \$1,000, then it will be distributed as a lump sum distribution without consent. Prior to such distribution, a participant still has the right to elect either a rollover or lump sum payment.

The CARES Act enabled Plan participants to waive required minimum distributions during 2020.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

A. Description of Plan (continued)

8. Hardship distributions - Participants are allowed to receive hardship distributions for certain events as described in the Plan. Hardship distributions can be made from a participant's salary deferrals and the matching contributions allocated to their account.

The CARES Act allowed qualified individuals to take a coronavirus-related hardship distribution of up to \$100,000 from the Plan. Eligible hardship distributions could be taken up to December 31, 2020 and the distributions were not subject to the customary 10% early withdrawal penalty. The tax associated with a coronavirus distribution can be repaid by the participant over a three-year period.

9. Forfeited accounts - For the years ended December 31, 2021 and 2020, there were no forfeited non-vested accounts. These accounts would have been used to reduce administrative fees paid by the Plan sponsor on behalf of the Plan and employer's contributions.

10. Plan expenses - All administrative expenses shall be paid out of the Plan unless paid by the Companies.

B. Summary of accounting policies

Basis of accounting

The financial statements of the Plan are prepared under the accrual method of accounting. These accounting policies conform to accounting principles generally accepted in the United States of America as promulgated in FASB Accounting Standards Codification (the Codification) and have been consistently applied in the preparation of the financial statements.

Estimates

The preparation of financial statements requires the Plan Administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Investment valuation and income recognition

The Plan's investments are stated at fair value with the exception of fully benefit responsive investment contracts, which are reported at contract value (see Note H).

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the Plan year.

Notes receivable from participants

Loans are valued at the unpaid balances plus any unpaid accrued interest. In the event of a default, the participant's account balance is reduced by the amount of the unpaid loan balance.

Excess contributions payable

In order to pass the required IRS non-discrimination tests for the Plan, participants who exceeded the maximum contributions allowed by the IRS were refunded the excess amounts by March 15 of the following year. Amounts payable to participants for excess contributions are recorded as a liability with a corresponding reduction to contributions. For the years ended December 31, 2021 and 2020, there were \$0 and \$2,218 of excess contributions payable, respectively.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

B. Summary of accounting policies (continued)

Payment of benefits

Benefit payments are recorded when paid.

Uncertain tax positions

As of December 31, 2021, management believes that based on evaluation of the Plan's tax positions that any liability as a result of uncertain tax positions would not be material. Management continually evaluates expiring statutes of limitations, changes in tax law, and new authoritative rulings to assist in evaluating the Plan's tax positions. Accrued interest and penalties associated with uncertain tax positions, if any, would be recognized as part of the income tax provision. Income tax returns are filed in the U.S. federal jurisdiction. U.S. federal income tax returns prior to fiscal year 2018 are closed.

C. Risks and uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such change could materially affect the amounts reported in the statement of net assets available for benefits. The Plan maintains its investments with an investment manager. Exposure to credit risk is reduced by placing such investments in high quality financial institutions and by following an investment strategy which utilizes a wide range of diversified funds.

The Plan has reviewed its operations in light of the COVID-19 pandemic in order to determine the financial impact. Economic uncertainties have arisen which may impact investment income and other Plan transactions. Other financial impact could occur though such potential impact is unknown at this time. In addition, the continued Federal and State responses to the pandemic could change the analysis done by the Plan, and that change could be material.

D. Certification by Trustee

We have been informed by the Plan administrator that Fidelity Management Trust Company held the Plan's investment assets and executed investment transactions for the years ended December 31, 2021 and 2020. The Plan administrator has obtained certifications from the trustee, as of and for the years ended December 31, 2021 and 2020, that the information provided to the Plan administrator by the trustee is complete and accurate. The following account balances and transactions were obtained from the statements certified by Fidelity Management Trust Company:

Statement of net assets available for benefits:

Investments

Notes receivable from participants

Statement of changes in net assets available for Plan benefits:

Net appreciation in fair value of investments

Interest and dividend income

Interest on notes receivable from participants

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

E. Plan termination

Although they have not expressed any intent to do so, the Companies have the right under the Plan to discontinue contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

F. Transactions with parties-in-interest

The Companies pay for professional fees related to the maintenance of the Plan. Fees paid on behalf of the Plan for the years ended December 31, 2021 and 2020 were \$15,500 and \$14,500, respectively. The Plan administrator also provides certain accounting and administrative services to the Plan for which no fees are charged.

The Plan allows for transactions with certain parties who may perform services or have fiduciary responsibilities to the Plan. These transactions are exempt from prohibited transaction rules. The assets of the Plan invested with Fidelity Investments as of December 31, 2021 and 2020 are considered party-in-interest investments since Fidelity Management Trust Company serves as the Plan's Trustee and Fidelity Investments Institutional Operations Company, Inc. serves as the Plan's record-keeper and is also paid investment management fees as a percentage of assets in certain fund investments.

The Plan paid direct fees to all service providers of \$23,345 and \$23,847 for the years ended December 31, 2021 and 2020, respectively, of which they paid (were reimbursed) Fidelity fees of \$(1,054) and \$1,025, respectively. The indirect fees paid by the Plan for investment management services are included as a reduction in the net appreciation in fair value of investments.

G. Investments at contract value - Fidelity Managed Income Portfolio

The Fidelity Managed Income Portfolio is a fully benefit-responsive investment contract managed by Fidelity Management Trust Company as a common collective trust. The Portfolio is a pooled stable value fund, seeking to preserve principal and maintain a stable net asset value of \$1 per share while earning a level of interest income consistent with principal preservation. The Portfolio is invested in fully benefit-responsive investment contracts issued by insurance companies and other financial institutions ("Contracts"), fixed income securities and money market funds. Under the terms of the Contracts, the assets are invested in fixed income securities, including U.S. Treasury and agency bonds, corporate bonds, mortgage and asset-backed securities, collective investment vehicles and shares of investment companies that invest primarily in fixed income securities, and shares of money market funds. Fidelity maintains the contributions in a general account, which is credited with earnings on the underlying investments and charged for participant withdrawals and administrative expenses. The Portfolio is reported in the financial statements at contract value as reported to the Plan by Fidelity. Contract value represents contributions made under contract, plus earnings, less participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investments at contract value. The contract has certain restrictions that impact the ability to collect the full contract value. Plan management believes that the occurrence of events that would cause the Plan to transact at less than contract value is not probable. Fidelity may not terminate the contract at any amount less than contract value.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

H. Fair value measurements of investments

The Plan uses a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets and liabilities (Level 1 measurements).

The three Levels of the fair value hierarchy are as follows:

Level 1 - Inputs that reflect unadjusted quoted prices in active markets for identical assets or liabilities that the Plan has the ability to access at the measurement date;

Level 2 - Inputs other than quoted prices that are observable for the assets or liability either directly or indirectly, including inputs that are not considered to be active;

Level 3 - Inputs that are unobservable.

Inputs are used in applying the various valuation techniques and broadly refer to the assumptions that market participants use to make valuation decisions, including assumptions about risk. Inputs may include price information, volatility statistics, specific and broad criteria data, liquidity statistics, and other factors. An investment's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. However, the determination of what constitutes "observable" requires significant judgment by the Plan. The Plan considers observable data to be that market data which is readily available, regularly distributed or updated, reliable and verifiable, not proprietary, provided by multiple, independent sources that are actively involved in the relevant market. The categorization of an investment within the hierarchy is based upon the pricing transparency of the investment and does not necessarily correspond to the Plan's perceived risk of that investment.

Fair value for the Plan's investment was determined as follows:

Level 1

The fair values of registered investment company shares are determined by obtaining quoted prices on nationally recognized securities exchanges.

The Plan's investments consist of the following at December 31:

December 31, 2021				
Fair market value				
	Level 1	Level 2	Level 3	Total
Registered investment company shares	\$ 7,806,326	\$	\$	\$ 7,806,326
December 31, 2020				
Fair market value				
	Level 1	Level 2	Level 3	Total
Registered investment company shares	\$ 9,118,998	\$	\$	\$ 9,118,998

Gains and losses included in changes in net assets available for benefits for the years ended December 31, 2021 and 2020 are reported in net appreciation in fair value of investments.

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

I. Reconciliation of financial statements to Form 5500

The following is a reconciliation of investments per the financial statements at December 31, 2021 and 2020 to Form 5500:

	<u>2021</u>	<u>2020</u>
Common collective trust at fair value on Form 5500	\$ 662,658	\$ 1,102,045
Adjustment from fair value to contract value	<u>(5,845)</u>	<u>(37,292)</u>
Investments at contract value on the financial statements	<u>\$ 656,813</u>	<u>\$ 1,064,753</u>

The following is a reconciliation of net assets available for benefits per the financial statements at December 31, 2021 and 2020 to Form 5500:

	<u>2021</u>	<u>2020</u>
Net assets available for benefits per Form 5500	\$ 8,509,942	\$10,340,678
Adjustment from fair value to contract value	(5,845)	(37,292)
Corrective distributions payable	<u> </u>	<u>(2,218)</u>
Net assets available for benefits per financial statements	<u>\$ 8,504,097</u>	<u>\$10,301,168</u>

The following is a reconciliation of total additions per the financial statements for the years ended December 31, 2021 and 2020, to Form 5500:

	<u>2021</u>	<u>2020</u>
Total income per Form 5500	\$ 1,497,182	\$ 1,821,455
Increase in adjustment from fair value to contract value	<u>31,447</u>	<u>(24,572)</u>
Total additions per financial statements	<u>\$ 1,528,629</u>	<u>\$ 1,796,883</u>

The following is a reconciliation of total deductions from net assets per the financial statements for the years ended December 31, 2021 and 2020, to Form 5500:

	<u>2021</u>	<u>2020</u>
Total expenses per Form 5500	\$ 3,327,918	\$ 1,168,575
Add corrective distributions payable - end of year		2,218
Less corrective distributions payable - beginning of year	<u>(2,218)</u>	<u>(12,606)</u>
Total deductions per financial statements	<u>\$ 3,325,700</u>	<u>\$ 1,158,187</u>

CARLISLE ETCETERA, LLC 401(K) PLAN

NOTES TO FINANCIAL STATEMENTS

December 31, 2021 and 2020

J. Tax status

The Plan sponsor adopted a prototype non-standardized safe harbor profit-sharing/401(k) plan which received a favorable opinion letter from the Internal Revenue Service dated March 31, 2008, which states that the Plan is designed in accordance with the applicable sections of the Internal Revenue Code (IRC) and is, therefore, not subject to tax under present income tax law. Although the Plan has been amended since receiving the opinion letter, management believes that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believes that the Plan is qualified, and the related trust is tax-exempt. Management is not aware of any course of action or series of events that have occurred that might adversely affect the Plan's qualified status.

K. Subsequent events

Subsequent events have been evaluated through October 17, 2022, which is the date the financial statements were available to be issued. The Plan is not aware of any material subsequent events.

SUPPLEMENTAL SCHEDULE

CARLISLE ETCETERA, LLC 401(K) PLAN

Form 5500 - Schedule H - Item 4i - Schedule of Assets Held for Investment Purposes at End of Year
 Identification Number 13-3078384 Plan No. 001
 December 31, 2021

(a)	(b)	(c)	(d)	(e)
	Identity of issue, borrower, Lessor, or Similar Party	Description of investment including maturity date, rate of interest, collateral, par or maturity value	Cost	Current value
Units of common collective trust				
*	Fidelity	Managed Income Portfolio	**	\$ 656,813
	American Beacon	Small Cap Value R6	**	88
	American Century	Central Emerging Market Investment	**	187,595
*	Fidelity	Contrafund	**	1,297,322
*	Fidelity	High Income	**	12,169
*	Fidelity	Government Income	**	95,274
*	Fidelity	Extended Market Index PR	**	63,772
*	Fidelity	International Index PR	**	54,702
*	Fidelity	500 Index	**	739,789
*	Fidelity	Government Money Market	**	11,143
	Ivy	Small Cap Growth I	**	239,453
	Janus	Enterprise T	**	203,418
	MFS	Value R3	**	9,786
	Pimco	Real Return BD AD	**	202,693
	T. Rowe Price	Retirement 2010 - Adv	**	107
	T. Rowe Price	Retirement 2015 - Adv	**	94
	T. Rowe Price	Retirement 2020 - Adv	**	260,627
	T. Rowe Price	Retirement 2025 - Adv	**	795,815
	T. Rowe Price	Retirement 2030 - Adv	**	200,297
	T. Rowe Price	Retirement 2035 - Adv	**	1,251,000
	T. Rowe Price	Retirement 2040 - Adv	**	582,089
	T. Rowe Price	Retirement 2045 - Adv	**	468,524
	T. Rowe Price	Retirement 2050 - Adv	**	58,388
	T. Rowe Price	Retirement 2055 - Adv	**	121,639
	T. Rowe Price	Retirement 2060 - Adv	**	21,207
	T. Rowe Price	Retirement 2065 - Adv	**	428
	T. Rowe Price	Retirement Balance Adv	**	335,890
	T. Rowe Price	Overseas Stock	**	255,865
	Victory	Sycamore Established Value A	**	93,816
	Western Asset	Core Bond FI	**	243,336
				<u>7,806,326</u>
Total investments on the financial statements				8,463,139
*	Notes receivable from participants	Interest rates 4.25% to 6.50% per annum Maturity dates ranging from January 2022 to December 2026		<u>40,958</u>
				<u>\$ 8,504,097</u>

* Indicates Party-In-Interest to the Plan

** Cost is not required for participant directed investments