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|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Form 5500</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security<br>Administration<br><br>Pension Benefit Guaranty Corporation | <b>Annual Return/Report of Employee Benefit Plan</b><br>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).<br><br><p style="text-align: center;">▶ <b>Complete all entries in accordance with the instructions to the Form 5500.</b></p> | OMB Nos. 1210-0110<br>1210-0089<br><br><div style="text-align: center; font-size: 1.5em; font-weight: bold;">2022</div><br><br><b>This Form is Open to Public Inspection</b> |
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|                                                                                                          |                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Part I                                                                                                   | <b>Annual Report Identification Information</b>                                                                                                                                                                                                                                                                                           |
| For calendar plan year 2022 or fiscal plan year beginning <u>01/01/2022</u> and ending <u>12/31/2022</u> |                                                                                                                                                                                                                                                                                                                                           |
| <b>A</b> This return/report is for:                                                                      | <input type="checkbox"/> a multiemployer plan <input type="checkbox"/> a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)<br><input checked="" type="checkbox"/> a single-employer plan <input type="checkbox"/> a DFE (specify) ____ |
| <b>B</b> This return/report is:                                                                          | <input type="checkbox"/> the first return/report <input type="checkbox"/> the final return/report<br><input type="checkbox"/> an amended return/report <input type="checkbox"/> a short plan year return/report (less than 12 months)                                                                                                     |
| <b>C</b> If the plan is a collectively-bargained plan, check here. ....                                  | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                  |
| <b>D</b> Check box if filing under:                                                                      | <input checked="" type="checkbox"/> Form 5558 <input type="checkbox"/> automatic extension <input type="checkbox"/> the DFVC program<br><input checked="" type="checkbox"/> special extension (enter description) <u>FEMA 3598-EM FEDERAL DISASTER AREA</u>                                                                               |
| <b>E</b> If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. ....   | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                  |

|                                                                                                                                                                                                                                                      |                                                                |                                                |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|------------------------------------------------|---------------------|
| Part II                                                                                                                                                                                                                                              | <b>Basic Plan Information</b> —enter all requested information |                                                |                     |
| <b>1a</b> Name of plan                                                                                                                                                                                                                               | <u>MAINE EYE CENTER, P.A. PROFIT SHARING PLAN</u>              | <b>1b</b> Three-digit plan number (PN) ▶       | <u>001</u>          |
|                                                                                                                                                                                                                                                      |                                                                | <b>1c</b> Effective date of plan               | <u>01/01/1994</u>   |
| <b>2a</b> Plan sponsor's name (employer, if for a single-employer plan)<br>Mailing address (include room, apt., suite no. and street, or P.O. Box)<br>City or town, state or province, and ZIP or foreign postal code (if foreign, see instructions) |                                                                | <b>2b</b> Employer Identification Number (EIN) | <u>01-0329291</u>   |
| <u>MAINE EYE CENTER, P.A.</u>                                                                                                                                                                                                                        |                                                                | <b>2c</b> Plan Sponsor's telephone number      | <u>207-774-8277</u> |
| <u>15 LOWELL STREET</u><br><u>PORTLAND, ME 04102</u>                                                                                                                                                                                                 |                                                                | <b>2d</b> Business code (see instructions)     | <u>621111</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<br>HERE | Filed with authorized/valid electronic signature. | 10/18/2023 | MICHELE ALVES                                                |
|              | Signature of plan administrator                   | Date       | Enter name of individual signing as plan administrator       |
| SIGN<br>HERE | Filed with authorized/valid electronic signature. | 10/18/2023 | MICHELE ALVES                                                |
|              | Signature of employer/plan sponsor                | Date       | Enter name of individual signing as employer or plan sponsor |
| SIGN<br>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 (2022)  
v. 220413

|                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| <b>3a</b> Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>3b</b> Administrator's EIN                                                                                  |
|                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>3c</b> Administrator's telephone number                                                                     |
| <b>4</b> 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:<br><b>a</b> Sponsor's name<br><b>c</b> Plan Name                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>4b</b> EIN<br><br><b>4d</b> PN                                                                              |
| <b>5</b> Total number of participants at the beginning of the plan year                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>5</b></span> <span>222</span> </div>     |
| <b>6</b> Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines <b>6a(1)</b> , <b>6a(2)</b> , <b>6b</b> , <b>6c</b> , and <b>6d</b> ).                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                |
| <b>a(1)</b> Total number of active participants at the beginning of the plan year .....                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6a(1)</b></span> <span>147</span> </div> |
| <b>a(2)</b> Total number of active participants at the end of the plan year .....                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6a(2)</b></span> <span>120</span> </div> |
| <b>b</b> Retired or separated participants receiving benefits .....                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6b</b></span> <span>3</span> </div>      |
| <b>c</b> Other retired or separated participants entitled to future benefits.....                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6c</b></span> <span>86</span> </div>     |
| <b>d</b> Subtotal. Add lines <b>6a(2)</b> , <b>6b</b> , and <b>6c</b> .....                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6d</b></span> <span>209</span> </div>    |
| <b>e</b> Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. ....                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6e</b></span> <span>0</span> </div>      |
| <b>f</b> Total. Add lines <b>6d</b> and <b>6e</b> .....                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6f</b></span> <span>209</span> </div>    |
| <b>g</b> Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item).....                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6g</b></span> <span>177</span> </div>    |
| <b>h</b> Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested.....                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>6h</b></span> <span>17</span> </div>     |
| <b>7</b> Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) .....                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <div style="display: flex; justify-content: space-between;"> <span><b>7</b></span> </div>                      |
| <b>8a</b> If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:<br>2A  2E  2F  2G  2J  2K  2R  2T  3D                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                |
| <b>b</b> If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                |
| <b>9a</b> Plan funding arrangement (check all that apply)<br>(1) <input checked="" type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor                                                                                                                   | <b>9b</b> Plan benefit arrangement (check all that apply)<br>(1) <input checked="" type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor                                                                                                                                                                                                                         |                                                                                                                |
| <b>10</b> Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                |
| <b>a Pension Schedules</b><br>(1) <input checked="" type="checkbox"/> <b>R</b> (Retirement Plan Information)<br><br>(2) <input type="checkbox"/> <b>MB</b> (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary<br><br>(3) <input type="checkbox"/> <b>SB</b> (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary | <b>b General Schedules</b><br>(1) <input checked="" type="checkbox"/> <b>H</b> (Financial Information)<br>(2) <input type="checkbox"/> <b>I</b> (Financial Information – Small Plan)<br>(3) <input checked="" type="checkbox"/> <b>1</b> <b>A</b> (Insurance Information)<br>(4) <input checked="" type="checkbox"/> <b>C</b> (Service Provider Information)<br>(5) <input checked="" type="checkbox"/> <b>D</b> (DFE/Participating Plan Information)<br>(6) <input type="checkbox"/> <b>G</b> (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 2022 Form M-1 annual report. If the plan was not required to file the 2022 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 \_\_\_\_\_

|                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                    |                                                                                                |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|
| <div>SCHEDULE A</div> <div>(Form 5500)</div> <div>Department of the Treasury</div> <div>Internal Revenue Service</div> <div>Department of Labor</div> <div>Employee Benefits Security Administration</div> <div>Pension Benefit Guaranty Corporation</div> | <div>Insurance Information</div> <div>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).</div> <div>▶ File as an attachment to Form 5500.</div> <div>▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2).</div> | <div>OMB No. 1210-0110</div> <div>2022</div> <div>This Form is Open to Public Inspection</div> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|

|                                                                                            |                                                      |     |
|--------------------------------------------------------------------------------------------|------------------------------------------------------|-----|
| For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022 |                                                      |     |
| A Name of plan<br>MAINE EYE CENTER, P.A. PROFIT SHARING PLAN                               | B Three-digit plan number (PN) ▶                     | 001 |
| C Plan sponsor's name as shown on line 2a of Form 5500<br>MAINE EYE CENTER, P.A.           | D Employer Identification Number (EIN)<br>01-0329291 |     |

|        |                                                                           |                                                                                                                                                                    |
|--------|---------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Part I | Information Concerning Insurance Contract Coverage, Fees, and Commissions | Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A. |
|--------|---------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                         |
|-------------------------|
| 1 Coverage Information: |
|-------------------------|

|                                                                            |
|----------------------------------------------------------------------------|
| (a) Name of insurance carrier<br>JOHN HANCOCK LIFE INSURANCE COMPANY (USA) |
|----------------------------------------------------------------------------|

| (b) EIN    | (c) NAIC code | (d) Contract or identification number | (e) Approximate number of persons covered at end of policy or contract year | Policy or contract year |            |
|------------|---------------|---------------------------------------|-----------------------------------------------------------------------------|-------------------------|------------|
|            |               |                                       |                                                                             | (f) From                | (g) To     |
| 01-0233346 | 65838         | 93909                                 | 0                                                                           | 01/01/2022              | 12/31/2022 |

|                                                                                                                                                                                            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2 Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid. |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                              |                                       |
|----------------------------------------------|---------------------------------------|
| (a) Total amount of commissions paid<br>6660 | (b) Total amount of fees paid<br>2250 |
|----------------------------------------------|---------------------------------------|

|                                                                                                       |
|-------------------------------------------------------------------------------------------------------|
| 3 Persons receiving commissions and fees. (Complete as many entries as needed to report all persons). |
|-------------------------------------------------------------------------------------------------------|

|                                                                                                                                                                                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (a) Name and address of the agent, broker, or other person to whom commissions or fees were paid<br>DOWNEAST PENSION SERVICES, INC.<br>41 CAMPUS DR., SUITE 302<br>NEW GLOUCESTER, ME 04260 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
| 6660                                          | 2250                            | TPA         | 7                     |

|                                                                                                  |
|--------------------------------------------------------------------------------------------------|
| (a) Name and address of the agent, broker, or other person to whom commissions or fees were paid |
|--------------------------------------------------------------------------------------------------|

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

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(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

---

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

---

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

---

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

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(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

**Part II Investment and Annuity Contract Information**

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

|          |                                                                                              |          |  |
|----------|----------------------------------------------------------------------------------------------|----------|--|
| <b>4</b> | Current value of plan's interest under this contract in the general account at year end..... | <b>4</b> |  |
| <b>5</b> | Current value of plan's interest under this contract in separate accounts at year end.....   | <b>5</b> |  |

**6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶

|          |                                                                                                                                                                                                      |           |  |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|
| <b>b</b> | Premiums paid to carrier .....                                                                                                                                                                       | <b>6b</b> |  |
| <b>c</b> | Premiums due but unpaid at the end of the year .....                                                                                                                                                 | <b>6c</b> |  |
| <b>d</b> | If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount.....<br>Specify nature of costs ▶ | <b>6d</b> |  |

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity  
 (3) ☒ other (specify) ▶ **GROUP ANNUITY**

**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ▶ ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)

**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee  
 (3) ☐ guaranteed investment (4) ☐ other ▶

|          |                                                                                                |              |  |
|----------|------------------------------------------------------------------------------------------------|--------------|--|
| <b>b</b> | Balance at the end of the previous year .....                                                  | <b>7b</b>    |  |
| <b>c</b> | Additions: (1) Contributions deposited during the year .....                                   | <b>7c(1)</b> |  |
|          | (2) Dividends and credits.....                                                                 | <b>7c(2)</b> |  |
|          | (3) Interest credited during the year.....                                                     | <b>7c(3)</b> |  |
|          | (4) Transferred from separate account.....                                                     | <b>7c(4)</b> |  |
|          | (5) Other (specify below) .....                                                                | <b>7c(5)</b> |  |
|          | ▶                                                                                              |              |  |
|          | (6) Total additions.....                                                                       | <b>7c(6)</b> |  |
| <b>d</b> | Total of balance and additions (add lines <b>7b</b> and <b>7c(6)</b> ) .....                   | <b>7d</b>    |  |
| <b>e</b> | Deductions:                                                                                    |              |  |
|          | (1) Disbursed from fund to pay benefits or purchase annuities during year .....                | <b>7e(1)</b> |  |
|          | (2) Administration charge made by carrier.....                                                 | <b>7e(2)</b> |  |
|          | (3) Transferred to separate account.....                                                       | <b>7e(3)</b> |  |
|          | (4) Other (specify below) .....                                                                | <b>7e(4)</b> |  |
|          | ▶                                                                                              |              |  |
|          | (5) Total deductions.....                                                                      | <b>7e(5)</b> |  |
| <b>f</b> | Balance at the end of the current year (subtract line <b>7e(5)</b> from line <b>7d</b> ) ..... | <b>7f</b>    |  |

**Part III Welfare Benefit Contract Information**

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)     
**b** ☐ Dental     
**c** ☐ Vision     
**d** ☐ Life insurance  
**e** ☐ Temporary disability (accident and sickness)     
**f** ☐ Long-term disability     
**g** ☐ Supplemental unemployment     
**h** ☐ Prescription drug  
**i** ☐ Stop loss (large deductible)     
**j** ☐ HMO contract     
**k** ☐ PPO contract     
**l** ☐ Indemnity contract  
**m** ☐ Other (specify) ▶

**9** Experience-rated contracts:

|                                                                                                                                                    |                 |                 |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|--|
| <b>a</b> Premiums: (1) Amount received .....                                                                                                       | <b>9a(1)</b>    |                 |  |
| (2) Increase (decrease) in amount due but unpaid .....                                                                                             | <b>9a(2)</b>    |                 |  |
| (3) Increase (decrease) in unearned premium reserve .....                                                                                          | <b>9a(3)</b>    |                 |  |
| (4) Earned ((1) + (2) - (3)) .....                                                                                                                 |                 | <b>9a(4)</b>    |  |
| <b>b</b> Benefit charges (1) Claims paid .....                                                                                                     | <b>9b(1)</b>    |                 |  |
| (2) Increase (decrease) in claim reserves .....                                                                                                    | <b>9b(2)</b>    |                 |  |
| (3) Incurred claims (add (1) and (2)) .....                                                                                                        |                 | <b>9b(3)</b>    |  |
| (4) Claims charged .....                                                                                                                           |                 | <b>9b(4)</b>    |  |
| <b>c</b> Remainder of premium: (1) Retention charges (on an accrual basis) --                                                                      |                 |                 |  |
| (A) Commissions .....                                                                                                                              | <b>9c(1)(A)</b> |                 |  |
| (B) Administrative service or other fees .....                                                                                                     | <b>9c(1)(B)</b> |                 |  |
| (C) Other specific acquisition costs .....                                                                                                         | <b>9c(1)(C)</b> |                 |  |
| (D) Other expenses .....                                                                                                                           | <b>9c(1)(D)</b> |                 |  |
| (E) Taxes .....                                                                                                                                    | <b>9c(1)(E)</b> |                 |  |
| (F) Charges for risks or other contingencies .....                                                                                                 | <b>9c(1)(F)</b> |                 |  |
| (G) Other retention charges .....                                                                                                                  | <b>9c(1)(G)</b> |                 |  |
| (H) Total retention .....                                                                                                                          |                 | <b>9c(1)(H)</b> |  |
| (2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.) ..... |                 | <b>9c(2)</b>    |  |
| <b>d</b> Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement .....                                |                 | <b>9d(1)</b>    |  |
| (2) Claim reserves .....                                                                                                                           |                 | <b>9d(2)</b>    |  |
| (3) Other reserves .....                                                                                                                           |                 | <b>9d(3)</b>    |  |
| <b>e</b> Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).) .....                                           |                 | <b>9e</b>       |  |

**10** Nonexperience-rated contracts:

|                                                                                                                                                                                                                                                             |            |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Total premiums or subscription charges paid to carrier .....                                                                                                                                                                                       | <b>10a</b> |  |
| <b>b</b> If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount. ....<br>Specify nature of costs. | <b>10b</b> |  |

**Part IV Provision of Information**

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ..... ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

|                                                                                                                                                                                                                                              |                                                                                                                                                                                                                             |                                         |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| <div>SCHEDULE C</div> <div>(Form 5500)</div> <div>Department of the Treasury<br/>Internal Revenue Service</div> <div>Department of Labor<br/>Employee Benefits Security Administration</div> <div>Pension Benefit Guaranty Corporation</div> | <div>Service Provider Information</div> <div>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).</div> <div>▶ File as an attachment to Form 5500.</div> | OMB No. 1210-0110                       |
|                                                                                                                                                                                                                                              |                                                                                                                                                                                                                             | 2022                                    |
|                                                                                                                                                                                                                                              |                                                                                                                                                                                                                             | This Form is Open to Public Inspection. |

|                                                                                            |                                                      |     |
|--------------------------------------------------------------------------------------------|------------------------------------------------------|-----|
| For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022 |                                                      |     |
| A Name of plan<br>MAINE EYE CENTER, P.A. PROFIT SHARING PLAN                               | B Three-digit plan number (PN) ▶                     | 001 |
|                                                                                            |                                                      |     |
| C Plan sponsor's name as shown on line 2a of Form 5500<br>MAINE EYE CENTER, P.A.           | D Employer Identification Number (EIN)<br>01-0329291 |     |

|        |                                                 |
|--------|-------------------------------------------------|
| Part I | Service Provider Information (see instructions) |
|--------|-------------------------------------------------|

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 |
|------------------------------------------------------------------------------------------------------------|

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

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

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

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

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

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

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

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

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**(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)

COMMONWEALTH FINANCIAL NETWORK

29 SAWYER RD  
WALTHAM, MA 02453-3483

04-2675571

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 26                     | INVESTMENT MANAGER                                                                                | 18133                                                                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                                            |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

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

UBS FINANCIAL SERVICES

1000 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086

13-2638166

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 26                     | INVESTMENT MANAGER                                                                                | 8746                                                                   | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                                            |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

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

JOHN HANCOCK LIFE INSURANCE COMPANY

01-0233346

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 15                     | RECORDKEEPER                                                                                      | 1491                                                                   | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

**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<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|
|                                                                     |                                                                                                                                                                    |                                           |
| (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. |                                           |
|                                                                     |                                                                                                                                                                    |                                           |
| (a) Enter service provider name as it appears on line 2             | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|                                                                     |                                                                                                                                                                    |                                           |
| (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. |                                           |
|                                                                     |                                                                                                                                                                    |                                           |
| (a) Enter service provider name as it appears on line 2             | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|                                                                     |                                                                                                                                                                    |                                           |
| (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. |                                           |
|                                                                     |                                                                                                                                                                    |                                           |

**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)

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                                                                                                                                                                                   |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-----|
| <div>SCHEDULE D<br/>(Form 5500)<br/><br/>Department of the Treasury<br/>Internal Revenue Service<br/><br/>Department of Labor<br/>Employee Benefits Security Administration</div> |  | <div>DFE/Participating Plan Information</div> <div>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).</div> <div>► File as an attachment to Form 5500.</div> |                                                                                                | <div>OMB No. 1210-0110</div> <div>2022</div> <div>This Form is Open to Public Inspection.</div> |     |
| For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022                                                                                        |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| A Name of plan<br>MAINE EYE CENTER, P.A. PROFIT SHARING PLAN                                                                                                                      |  |                                                                                                                                                                                                                                   | B Three-digit plan number (PN) ►                                                               |                                                                                                 | 001 |
| C Plan or DFE sponsor's name as shown on line 2a of Form 5500<br>MAINE EYE CENTER, P.A.                                                                                           |  |                                                                                                                                                                                                                                   | D Employer Identification Number (EIN)<br>01-0329291                                           |                                                                                                 |     |
| Part I Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)<br>(Complete as many entries as needed to report all interests in DFEs)  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2025                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2030                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2040                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2050                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2055                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2060                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |
| a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET RET 2065                                                                                                                  |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| b Name of sponsor of entity listed in (a): JOHN HANCOCK USA                                                                                                                       |  |                                                                                                                                                                                                                                   |                                                                                                |                                                                                                 |     |
| c EIN-PN 01-0233346-000                                                                                                                                                           |  | d Entity code P                                                                                                                                                                                                                   | e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |                                                                                                 |     |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2015 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2020 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2025 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2030 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2035 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2040 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2045 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2050 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2055 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER 2060 LIFETIME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

|                                                                              |                        |                                                                                                       |
|------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX RET |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA           |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                               | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX 2025 |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX 2035 |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX 2045 |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX 2055 |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX 2060 |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPAATH INDEX 2065 |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                           |                        |                                                                                                       |
|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER CONSERV LS |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA        |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                            | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                           |                        |                                                                                                       |
|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER BALANCE LS |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA        |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                            | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                          |                        |                                                                                                       |
|--------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER GROWTH LS |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA       |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                           | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                           |                        |                                                                                                       |
|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: JH MULTIMANAGER AGGRESS LS |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA        |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                            | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                            |                        |                                                                                                       |
|----------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD SHORT-TERM FEDERAL |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA         |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                             | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                    |                        |                                                                                                       |
|--------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: MONEY MARKET FUND   |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                     | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                             |                        |                                                                                                       |
|-----------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: AMER FUNDS US GOVERNMENT SEC |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA          |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                              | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                       |                        |                                                                                                       |
|-----------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: TOTAL BOND MARKET FUND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA    |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                        | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                           |                        |                                                                                                       |
|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE SPECTRUM INC |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA        |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                            | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                    |                        |                                                                                                       |
|--------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: PIMCO REAL RETURN   |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                     | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                       |                        |                                                                                                       |
|-----------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: JOHN HANCOCK BOND FUND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA    |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                        | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                    |                        |                                                                                                       |
|--------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: HIGH YIELD FUND     |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                     | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                            |                        |                                                                                                       |
|----------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: FIDELITY ADVISOR TOTAL BOND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA         |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                             | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: INVESCO INTERNATIONAL BOND

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AF CAPITAL WORLD BOND FUND

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AF AMERICAN BALANCED FUND

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AF WASHINGTON MUTUAL INVESTORS

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: VICTORY DIVERSIFIED STOCK

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD VALUE INDEX FUND

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AF NEW PERSPECTIVE FUND

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JH DISCIPLINED VALUE

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AMERICAN CENTURY HERITAGE

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AF CAPITAL WORLD GROWTH & INCOME

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK USA

|                                |                        |                                                                                                       |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN 01-0233346-000 | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |
|--------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **NEW WORLD FUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **MD CAP INDEX FUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **INVESCO DEVELOPING MARKETS**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **INTL EQUITY INDEX FUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **FIDELITY CONTRAFUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **EUROPACIFIC GROWTH FUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **DFA U.S. SMALL CAP FUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **DFA INTERNATIONAL VALUE**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **DFA EMERGING MARKETS VALUE**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: **BLUE CHIP GROWTH FUND**

**b** Name of sponsor of entity listed in (a): **JOHN HANCOCK USA**

|                                       |                               |                                                                                                              |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <b>01-0233346-000</b> | <b>d</b> Entity code <b>P</b> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <b>0</b> |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------|

|                                                                    |                        |                                                                                                       |
|--------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: 500 INDEX FUND      |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                     | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                               |                        |                                                                                                       |
|-------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD SMALL CAP VALUE INDEX |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA            |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                                | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                              |                        |                                                                                                       |
|------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD SMALL CAP GROW INDEX |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA           |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                               | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                           |                        |                                                                                                       |
|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD MID-CAP VALUE ETF |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA        |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                            | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                    |                        |                                                                                                       |
|--------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD GROWTH ETF |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                     | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                           |                        |                                                                                                       |
|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD GROWTH INDEX FUND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA        |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                            | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                       |                        |                                                                                                       |
|-----------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: GROWTH FUND OF AMERICA |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA    |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                        | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                     |                        |                                                                                                       |
|---------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: SMALL CAP STOCK FUND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA  |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                      | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                     |                        |                                                                                                       |
|---------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: SMALL CAP INDEX FUND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA  |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                      | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

|                                                                         |                        |                                                                                                       |
|-------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: REAL EST SECURITIES FUND |                        |                                                                                                       |
| <b>b</b> Name of sponsor of entity listed in (a): JOHN HANCOCK USA      |                        |                                                                                                       |
| <b>c</b> EIN-PN 01-0233346-000                                          | <b>d</b> Entity code P | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0 |

**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

|                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                            |                                                                                           |                                                                    |            |  |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------------|------------|--|--|
| <b>SCHEDULE H</b><br><b>(Form 5500)</b><br><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><br><small>Department of Labor<br/>Employee Benefits Security Administration</small><br><br><small>Pension Benefit Guaranty Corporation</small> | <b>Financial Information</b><br><br>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).<br><br><b>► File as an attachment to Form 5500.</b>                                               | OMB No. 1210-0110<br><br><b>2022</b><br><br><b>This Form is Open to Public Inspection</b> |                                                                    |            |  |  |
| For calendar plan year 2022 or fiscal plan year beginning <u>01/01/2022</u> and ending <u>12/31/2022</u>                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                            |                                                                                           |                                                                    |            |  |  |
| <b>A</b> Name of plan<br><u>MAINE EYE CENTER, P.A. PROFIT SHARING PLAN</u>                                                                                                                                                                                               | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%; padding: 5px;"> <b>B</b> Three-digit plan number (PN) ►             </td> <td style="width: 20%; padding: 5px; text-align: center;"> <b>001</b> </td> </tr> <tr> <td colspan="2" style="height: 20px;"></td> </tr> </table> |                                                                                           | <b>B</b> Three-digit plan number (PN) ►                            | <b>001</b> |  |  |
| <b>B</b> Three-digit plan number (PN) ►                                                                                                                                                                                                                                  | <b>001</b>                                                                                                                                                                                                                                                                                                                 |                                                                                           |                                                                    |            |  |  |
|                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                            |                                                                                           |                                                                    |            |  |  |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><u>MAINE EYE CENTER, P.A.</u>                                                                                                                                                                           | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%; padding: 5px;"> <b>D</b> Employer Identification Number (EIN)<br/> <u>01-0329291</u> </td> <td style="width: 20%;"></td> </tr> </table>                                                                                     |                                                                                           | <b>D</b> Employer Identification Number (EIN)<br><u>01-0329291</u> |            |  |  |
| <b>D</b> Employer Identification Number (EIN)<br><u>01-0329291</u>                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                            |                                                                                           |                                                                    |            |  |  |

| Part I                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Asset and Liability Statement |                       |                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-----------------------|-----------------|
| <b>1</b> 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. <b>Round off amounts to the nearest dollar.</b> 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 |
| <b>a</b> Total noninterest-bearing cash.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                               | <b>1a</b>             | 12151053        |
| <b>b</b> Receivables (less allowance for doubtful accounts):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                               |                       |                 |
| <b>(1)</b> Employer contributions.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                               | <b>1b(1)</b>          | 328571144173    |
| <b>(2)</b> Participant contributions.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                               | <b>1b(2)</b>          | 51860           |
| <b>(3)</b> Other.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                               | <b>1b(3)</b>          |                 |
| <b>c</b> General investments:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                               |                       |                 |
| <b>(1)</b> Interest-bearing cash (include money market accounts & certificates of deposit).....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                               | <b>1c(1)</b>          | 229955334286    |
| <b>(2)</b> U.S. Government securities .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                               | <b>1c(2)</b>          | 99052           |
| <b>(3)</b> Corporate debt instruments (other than employer securities):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                               |                       |                 |
| <b>(A)</b> Preferred .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                               | <b>1c(3)(A)</b>       |                 |
| <b>(B)</b> All other .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                               | <b>1c(3)(B)</b>       | 462139371473    |
| <b>(4)</b> Corporate stocks (other than employer securities):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                               |                       |                 |
| <b>(A)</b> Preferred .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                               | <b>1c(4)(A)</b>       |                 |
| <b>(B)</b> Common.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                               | <b>1c(4)(B)</b>       | 73654535134139  |
| <b>(5)</b> Partnership/joint venture interests .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                               | <b>1c(5)</b>          |                 |
| <b>(6)</b> Real estate (other than employer real property) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                               | <b>1c(6)</b>          |                 |
| <b>(7)</b> Loans (other than to participants).....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               | <b>1c(7)</b>          |                 |
| <b>(8)</b> Participant loans.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                               | <b>1c(8)</b>          | 8424286112      |
| <b>(9)</b> Value of interest in common/collective trusts.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                               | <b>1c(9)</b>          |                 |
| <b>(10)</b> Value of interest in pooled separate accounts .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                               | <b>1c(10)</b>         |                 |
| <b>(11)</b> Value of interest in master trust investment accounts.....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                               | <b>1c(11)</b>         |                 |
| <b>(12)</b> Value of interest in 103-12 investment entities .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                               | <b>1c(12)</b>         |                 |
| <b>(13)</b> Value of interest in registered investment companies (e.g., mutual funds).....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                               | <b>1c(13)</b>         | 235367514517566 |
| <b>(14)</b> Value of funds held in insurance company general account (unallocated contracts).....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                               | <b>1c(14)</b>         |                 |
| <b>(15)</b> Other .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                               | <b>1c(15)</b>         |                 |

| <b>1d</b> Employer-related investments:                              |              | (a) Beginning of Year | (b) End of Year |
|----------------------------------------------------------------------|--------------|-----------------------|-----------------|
| (1) Employer securities .....                                        | <b>1d(1)</b> |                       |                 |
| (2) Employer real property .....                                     | <b>1d(2)</b> |                       |                 |
| <b>e</b> Buildings and other property used in plan operation .....   | <b>1e</b>    |                       |                 |
| <b>f</b> Total assets (add all amounts in lines 1a through 1e) ..... | <b>1f</b>    | 32012297              | 22837854        |

**Liabilities**

|                                                                           |           |  |      |
|---------------------------------------------------------------------------|-----------|--|------|
| <b>g</b> Benefit claims payable .....                                     | <b>1g</b> |  |      |
| <b>h</b> Operating payables .....                                         | <b>1h</b> |  |      |
| <b>i</b> Acquisition indebtedness .....                                   | <b>1i</b> |  |      |
| <b>j</b> Other liabilities .....                                          | <b>1j</b> |  | 3759 |
| <b>k</b> Total liabilities (add all amounts in lines 1g through 1j) ..... | <b>1k</b> |  | 3759 |

**Net Assets**

|                                                           |           |          |          |
|-----------------------------------------------------------|-----------|----------|----------|
| <b>l</b> Net assets (subtract line 1k from line 1f) ..... | <b>1l</b> | 32012297 | 22834095 |
|-----------------------------------------------------------|-----------|----------|----------|

**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 |
|------------------------------------------------------------------------------------------------------------|-----------------|------------|-----------|
| <b>a Contributions:</b>                                                                                    |                 |            |           |
| (1) Received or receivable in cash from: <b>(A)</b> Employers .....                                        | <b>2a(1)(A)</b> | 401027     |           |
| <b>(B)</b> Participants .....                                                                              | <b>2a(1)(B)</b> | 516251     |           |
| <b>(C)</b> Others (including rollovers) .....                                                              | <b>2a(1)(C)</b> | 158832     |           |
| (2) Noncash contributions .....                                                                            | <b>2a(2)</b>    |            |           |
| (3) Total contributions. Add lines <b>2a(1)(A)</b> , <b>(B)</b> , <b>(C)</b> , and line <b>2a(2)</b> ..... | <b>2a(3)</b>    |            | 1076110   |
| <b>b Earnings on investments:</b>                                                                          |                 |            |           |
| (1) Interest:                                                                                              |                 |            |           |
| <b>(A)</b> Interest-bearing cash (including money market accounts and certificates of deposit) .....       | <b>2b(1)(A)</b> |            |           |
| <b>(B)</b> U.S. Government securities .....                                                                | <b>2b(1)(B)</b> |            |           |
| <b>(C)</b> Corporate debt instruments .....                                                                | <b>2b(1)(C)</b> |            |           |
| <b>(D)</b> Loans (other than to participants) .....                                                        | <b>2b(1)(D)</b> |            |           |
| <b>(E)</b> Participant loans .....                                                                         | <b>2b(1)(E)</b> | 5426       |           |
| <b>(F)</b> Other .....                                                                                     | <b>2b(1)(F)</b> |            |           |
| <b>(G)</b> Total interest. Add lines <b>2b(1)(A)</b> through <b>(F)</b> .....                              | <b>2b(1)(G)</b> |            | 5426      |
| (2) Dividends: <b>(A)</b> Preferred stock .....                                                            | <b>2b(2)(A)</b> |            |           |
| <b>(B)</b> Common stock .....                                                                              | <b>2b(2)(B)</b> |            |           |
| <b>(C)</b> Registered investment company shares (e.g. mutual funds) .....                                  | <b>2b(2)(C)</b> |            |           |
| <b>(D)</b> Total dividends. Add lines <b>2b(2)(A)</b> , <b>(B)</b> , and <b>(C)</b> .....                  | <b>2b(2)(D)</b> |            |           |
| (3) Rents .....                                                                                            | <b>2b(3)</b>    |            |           |
| (4) Net gain (loss) on sale of assets: <b>(A)</b> Aggregate proceeds .....                                 | <b>2b(4)(A)</b> |            |           |
| <b>(B)</b> Aggregate carrying amount (see instructions) .....                                              | <b>2b(4)(B)</b> |            |           |
| <b>(C)</b> Subtract line <b>2b(4)(B)</b> from line <b>2b(4)(A)</b> and enter result .....                  | <b>2b(4)(C)</b> |            |           |
| (5) Unrealized appreciation (depreciation) of assets: <b>(A)</b> Real estate .....                         | <b>2b(5)(A)</b> |            |           |
| <b>(B)</b> Other .....                                                                                     | <b>2b(5)(B)</b> |            |           |
| <b>(C)</b> Total unrealized appreciation of assets. Add lines <b>2b(5)(A)</b> and <b>(B)</b> .....         | <b>2b(5)(C)</b> |            |           |

|                                                                                                 |        | (a) Amount | (b) Total |
|-------------------------------------------------------------------------------------------------|--------|------------|-----------|
| (6) Net investment gain (loss) from common/collective trusts .....                              | 2b(6)  |            |           |
| (7) Net investment gain (loss) from pooled separate accounts .....                              | 2b(7)  |            |           |
| (8) Net investment gain (loss) from master trust investment accounts .....                      | 2b(8)  |            |           |
| (9) Net investment gain (loss) from 103-12 investment entities.....                             | 2b(9)  |            |           |
| (10) Net investment gain (loss) from registered investment companies (e.g., mutual funds) ..... | 2b(10) |            | -5896749  |
| c Other income .....                                                                            | 2c     |            |           |
| d Total income. Add all <b>income</b> amounts in column (b) and enter total .....               | 2d     |            | -4815213  |
| <b>Expenses</b>                                                                                 |        |            |           |
| e Benefit payment and payments to provide benefits:                                             |        |            |           |
| (1) Directly to participants or beneficiaries, including direct rollovers .....                 | 2e(1)  | 4218254    |           |
| (2) To insurance carriers for the provision of benefits .....                                   | 2e(2)  |            |           |
| (3) Other .....                                                                                 | 2e(3)  |            |           |
| (4) Total benefit payments. Add lines 2e(1) through (3) .....                                   | 2e(4)  |            | 4218254   |
| f Corrective distributions (see instructions) .....                                             | 2f     |            |           |
| g Certain deemed distributions of participant loans (see instructions) .....                    | 2g     |            |           |
| h Interest expense .....                                                                        | 2h     |            |           |
| i Administrative expenses: (1) Professional fees .....                                          | 2i(1)  |            |           |
| (2) Contract administrator fees .....                                                           | 2i(2)  | 63777      |           |
| (3) Investment advisory and management fees .....                                               | 2i(3)  | 80958      |           |
| (4) Other .....                                                                                 | 2i(4)  |            |           |
| (5) Total administrative expenses. Add lines 2i(1) through (4) .....                            | 2i(5)  |            | 144735    |
| j Total expenses. Add all <b>expense</b> amounts in column (b) and enter total .....            | 2j     |            | 4362989   |
| <b>Net Income and Reconciliation</b>                                                            |        |            |           |
| k Net income (loss). Subtract line 2j from line 2d .....                                        | 2k     |            | -9178202  |
| l Transfers of assets:                                                                          |        |            |           |
| (1) To this plan .....                                                                          | 2l(1)  |            |           |
| (2) From this plan .....                                                                        | 2l(2)  |            |           |

**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: MARCUM LLP

(2) EIN: 11-1986323

**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   |    | 31774  |

|                                                                                                                                                                                                                                                                                                            | Yes | No | Amount  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|---------|
| <b>b</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.) |     |    |         |
| <b>4b</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>c</b> 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.)                                                                                                                             |     |    |         |
| <b>4c</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>d</b> 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.)                                                                                                                  |     |    |         |
| <b>4d</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>e</b> Was this plan covered by a fidelity bond?                                                                                                                                                                                                                                                         | X   |    | 1000000 |
| <b>f</b> Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?                                                                                                                                                                          |     | X  |         |
| <b>4f</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>g</b> 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?                                                                                                                                       |     |    |         |
| <b>4g</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>h</b> 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?                                                                                                                             |     |    |         |
| <b>4h</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>i</b> Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)                                                                                                                                                   | X   |    |         |
| <b>4i</b>                                                                                                                                                                                                                                                                                                  | X   |    |         |
| <b>j</b> 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.)                                                                                     |     |    |         |
| <b>4j</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>k</b> Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?                                                                                                                                              |     |    |         |
| <b>4k</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>l</b> Has the plan failed to provide any benefit when due under the plan?                                                                                                                                                                                                                               |     |    |         |
| <b>4l</b>                                                                                                                                                                                                                                                                                                  |     | X  |         |
| <b>m</b> If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)                                                                                                                                                                                     | X   |    |         |
| <b>4m</b>                                                                                                                                                                                                                                                                                                  | X   |    |         |
| <b>n</b> 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   |    |         |
| <b>4n</b>                                                                                                                                                                                                                                                                                                  | 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 \_\_\_\_\_.

|                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| <div>SCHEDULE R<br/>(Form 5500)<br/><br/>Department of the Treasury<br/>Internal Revenue Service<br/><br/>Department of Labor<br/>Employee Benefits Security Administration<br/><br/>Pension Benefit Guaranty Corporation</div>                                                                                                                            | <div>Retirement Plan Information</div> <div>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).</div> <div>► File as an attachment to Form 5500.</div> | <div>OMB No. 1210-0110</div> <div>2022</div> <div>This Form is Open to Public Inspection.</div> |
| For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| A Name of plan<br>MAINE EYE CENTER, P.A. PROFIT SHARING PLAN                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                  | B Three-digit plan number (PN) ► 001                                                            |
| C Plan sponsor's name as shown on line 2a of Form 5500<br>MAINE EYE CENTER, P.A.                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                  | D Employer Identification Number (EIN)<br>01-0329291                                            |
| Part I                                                                                                                                                                                                                                                                                                                                                     | Distributions                                                                                                                                                                                                                                                                                    |                                                                                                 |
| 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):<br><br>EIN(s): 01-0233346 01-0472857<br><br>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.)                                                                                                                           |                                                                                                 |
| 4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A<br>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 _____<br>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? ..... <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? ..... <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| Part III                                                                                                                                                                                                                                                                                                                                                   | Amendments                                                                                                                                                                                                                                                                                       |                                                                                                 |
| 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..... <input type="checkbox"/> Increase <input type="checkbox"/> Decrease <input type="checkbox"/> Both <input type="checkbox"/> No          |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| 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.                                                                                                                                                       |                                                                                                 |
| 10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?..... <input type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| 11 a Does the ESOP hold any preferred stock?..... <input type="checkbox"/> Yes <input type="checkbox"/> 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.)..... <input type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                              |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| 12 Does the ESOP hold any stock that is not readily tradable on an established securities market?..... <input type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| For Paperwork Reduction Act Notice, see the Instructions for Form 5500.                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                  |                                                                                                 |
| Schedule R (Form 5500) 2022 v. 220413                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                  |                                                                                                 |

**Part V Additional Information for Multiemployer Defined Benefit Pension Plans**

**13** Enter the following information for each employer that (1) contributed more than 5% of total contributions to the plan during the plan year or (2) was one of the top-ten highest contributors (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): \_\_\_\_\_

|           |                                                                                                                                                                                                                                                                                                                                 |            |  |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>14</b> | 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:                                                                                                                      |            |  |
|           | <b>a</b> The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: <input type="checkbox"/> last contributing employer <input type="checkbox"/> alternative <input type="checkbox"/> reasonable approximation (see instructions for required attachment)..... | <b>14a</b> |  |
|           | <b>b</b> The plan year immediately preceding the current plan year. <input type="checkbox"/> Check the box if the number reported is a change from what was previously reported (see instructions for required attachment) .....                                                                                                | <b>14b</b> |  |
|           | <b>c</b> The second preceding plan year. <input type="checkbox"/> Check the box if the number reported is a change from what was previously reported (see instructions for required attachment) .....                                                                                                                           | <b>14c</b> |  |
| <b>15</b> | 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:                                                                                                                                                    |            |  |
|           | <b>a</b> The corresponding number for the plan year immediately preceding the current plan year.....                                                                                                                                                                                                                            | <b>15a</b> |  |
|           | <b>b</b> The corresponding number for the second preceding plan year.....                                                                                                                                                                                                                                                       | <b>15b</b> |  |
| <b>16</b> | Information with respect to any employers who withdrew from the plan during the preceding plan year:                                                                                                                                                                                                                            |            |  |
|           | <b>a</b> Enter the number of employers who withdrew during the preceding plan year .....                                                                                                                                                                                                                                        | <b>16a</b> |  |
|           | <b>b</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.....                                                                                                                                                           | <b>16b</b> |  |
| <b>17</b> | 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 ..... <input type="checkbox"/>                                                                            |            |  |

|                |                                                                                                   |
|----------------|---------------------------------------------------------------------------------------------------|
| <b>Part VI</b> | <b>Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans</b> |
|----------------|---------------------------------------------------------------------------------------------------|

|           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>18</b> | 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 ..... <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>19</b> | <p>If the total number of participants is 1,000 or more, complete lines (a) through (c)</p> <p><b>a</b> Enter the percentage of plan assets held as:<br/> Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%</p> <p><b>b</b> Provide the average duration of the combined investment-grade and high-yield debt:<br/> <input type="checkbox"/> 0-3 years <input type="checkbox"/> 3-6 years <input type="checkbox"/> 6-9 years <input type="checkbox"/> 9-12 years <input type="checkbox"/> 12-15 years <input type="checkbox"/> 15-18 years <input type="checkbox"/> 18-21 years <input type="checkbox"/> 21 years or more</p> <p><b>c</b> What duration measure was used to calculate line 19(b)?<br/> <input type="checkbox"/> Effective duration <input type="checkbox"/> Macaulay duration <input type="checkbox"/> Modified duration <input type="checkbox"/> Other (specify): _____</p>                                                                                                                                                                                      |
| <b>20</b> | <p><b>PBGC missed contribution reporting requirements.</b> If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.</p> <p><b>a</b> Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><b>b</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:</p> <p><input type="checkbox"/> Yes.</p> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> No. Other. Provide explanation _____</p> |

**MAINE EYE CENTER, P.A. PROFIT SHARING PLAN**  
**FINANCIAL STATEMENTS AND SUPPLEMENTAL SCHEDULES**  
**AS OF DECEMER 31, 2022 AND 2021 AND**  
**FOR THE YEAR ENDED DECEMBER 31, 2022**

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

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## **INDEPENDENT AUDITORS' REPORT**

To the Plan Administrator  
**Maine Eye Center, P.A. Profit Sharing Plan**

### ***Opinion on the 2022 Financial Statements***

We have audited the financial statements of Maine Eye Center, P.A. Profit Sharing Plan, an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statement of net assets available for benefits as of December 31, 2022, 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.

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of Maine Eye Center, P.A. Profit Sharing Plan as of December 31, 2022, and the changes in its net assets available for benefits for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

### ***Basis for Opinion on the 2022 Financial Statements***

We conducted our audit in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the Auditors' Responsibilities for the Audit of the 2022 Financial Statements section of our report. We are required to be independent of Maine Eye Center, P.A. Profit Sharing Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### ***Responsibilities of Management for the 2022 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.

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 Maine Eye Center, P.A. Profit Sharing 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 2022 Financial Statements***

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 auditor's 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 GAAS 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, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users made on the basis of these financial statements.

In performing an audit in accordance with GAAS, 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 Maine Eye Center, P.A. Profit Sharing 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 Maine Eye Center, P.A. Profit Sharing Plan's ability to continue as a going concern for a reasonable period of time.

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.

### ***2022 Supplemental Schedules Required by ERISA***

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedules of schedule H, Line 4a – Schedule of Delinquent Participant Contributions for the year ended December 31, 2022 and supplemental schedule H, Line 4i – Schedule of Assets (held at End of Year) as of December 31, 2022 are presented for purposes of additional analysis and are not a required part of the financial statements but are 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 has been subjected to the auditing procedures applied in the audits 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 GAAS.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, including their form and content, are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion, the information in the accompanying schedules is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

### ***Other Matters***

#### ***Auditors' Report on the ERISA Section 103(a)(3)(C) Audit for the 2021 Financial Statements***

We performed an audit of the 2021 financial statements of Maine Eye Center, P.A. Profit Sharing Plan. 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, our audit did not extend to any statements or information related to assets held for investment of the plan that were certified by a qualified institution. In our report dated October 17, 2022, we indicated that in our opinion (a) the amounts and disclosures in the 2021 financial statements, other than those agreed to or derived from the certified investment information, were presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America, and (b) the information in the 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).

*Marcum LLP*

Portland, ME  
February 14, 2024

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS

DECEMBER 31, 2022 AND 2021

|                                          | 2022                 | 2021                 |
|------------------------------------------|----------------------|----------------------|
| <b>Assets</b>                            |                      |                      |
| <b>Non-Interest Bearing Cash</b>         | \$ 12,151,053        | \$ --                |
| <b>Investments, at Fair Value</b>        |                      |                      |
| Cash (including money market funds)      | 334,286              | 229,955              |
| Corporate bonds                          | 371,473              | 462,139              |
| U.S. Government securities               | 99,052               | --                   |
| Common stock                             | 5,134,139            | 7,365,453            |
| Registered investment companies          | 4,517,566            | 5,759,106            |
| Pooled separate accounts                 | --                   | 17,777,645           |
| <b>Total Investments, at Fair Value</b>  | <u>10,456,516</u>    | <u>31,594,298</u>    |
| <b>Receivables</b>                       |                      |                      |
| Employer contributions                   | 144,173              | 328,571              |
| Participant contributions                | --                   | 5,186                |
| Notes receivable from participants       | <u>86,112</u>        | <u>84,242</u>        |
| <b>Total Receivables</b>                 | <u>230,285</u>       | <u>417,999</u>       |
| <b>Total Assets</b>                      | 22,837,854           | 32,012,297           |
| <b>Liabilities</b>                       |                      |                      |
| Corrective distributions payable         | <u>3,759</u>         | <u>--</u>            |
| <b>Net Assets Available for Benefits</b> | <u>\$ 22,834,095</u> | <u>\$ 32,012,297</u> |

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

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS

FOR THE YEAR ENDED DECEMBER 31, 2022

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### Additions

#### Losses to Net Assets Attributed to:

##### Investment loss:

|                                               |                |
|-----------------------------------------------|----------------|
| Net depreciation in fair value of investments | \$ (6,263,043) |
| Interest and dividends                        | <u>258,457</u> |

**Total Investment Loss** (6,004,586)

**Interest Income on Notes Receivable from Participants** 5,426

(5,999,160)

#### Contributions:

|                                    |                |
|------------------------------------|----------------|
| Employer contributions             | 401,027        |
| Participant contributions          | 516,251        |
| Participant rollover contributions | <u>158,832</u> |

**Total Contributions** 1,076,110

**Total Losses** (4,923,050)

### Deductions

#### Deductions from Net Assets Attributed to:

|                               |               |
|-------------------------------|---------------|
| Benefits paid to participants | 4,218,254     |
| Administrative fees           | <u>36,898</u> |

**Total Deductions** 4,255,152

**Net Decrease in Net Assets Available for Benefits** (9,178,202)

**Net Assets Available for Benefits - Beginning of Year** 32,012,297

**Net Assets Available for Benefits - End of Year** \$ 22,834,095

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

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

### AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022

---

#### NOTE 1 – DESCRIPTION OF PLAN

The following description of the Maine Eye Center, P.A. Profit Sharing Plan (the “Plan”) provides general information. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA). Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

#### *GENERAL*

The Plan is a defined contribution plan which was established on January 1, 1994. The Plan's participants include the eligible employees of Maine Eye Center P.A. (the “Company” or the “Employer”). For salary deferrals and matching contributions, the Plan is extended to Company employees on the first day of the quarter coincident with or following ninety days of service. The Board of Trustees is responsible for oversight of the Plan and determines the appropriateness of the Plan's investment offerings and monitors investment performance.

#### *CARES ACT*

The Coronavirus Aid, Relief, and Economic Security Act (CARES Act) removed the 10% early withdrawal penalty for a coronavirus-related distribution up to \$100,000 made during 2020. Participants who took a coronavirus-related distribution could spread the income over a three-year period for income tax purposes or avoid income taxes if the distribution is repaid within the three-year period following the distribution. The voluntary adoption of this provision by the Plan was effective March 27, 2020. As of December 31, 2022, the Plan had been formally amended for the CARES Act provisions.

#### *CONTRIBUTIONS*

Participants may contribute annual compensation to the Plan on a pre-income tax basis, up to the maximum deferral amount allowed by law (\$20,500 in 2022). In addition, employees who are age 50 or older may defer an additional "catch up" contribution (\$6,500 in 2022). Effective January 1, 2020, the Plan was amended to allow participants to contribute Roth elective deferrals. Each participant may direct the contributions into their account to any one or more of the investment funds offered. The Company matches the participant deferrals at a discretionary percentage determined by the Company. For the year ended December 31, 2022, the Company matched 100% of the first 5% of base compensation that a participant contributes to the Plan. During the year ended December 31, 2022, total discretionary matching contributions amounted to \$275,751. Company matching contributions are recorded in the same period as the corresponding participant elective contributions and are invested in the same funds as the participant contributions.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

### AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022

---

#### NOTE 1 – DESCRIPTION OF PLAN (CONTINUED)

##### *CONTRIBUTIONS (CONTINUED)*

The Employer may also make a discretionary non-elective profit sharing contribution to the Plan. The discretionary contribution made by the employer is allocated among eligible participants using an employee grouping method. Top-heavy non-elective contributions are made for those participants who were not eligible for a profit sharing contribution and who did not receive an employer match because they declined to defer compensation to the Plan. During the year ended December 31, 2022, total discretionary non-elective profit sharing contributions amounted to \$125,276.

Employee rollover contributions are recorded when received.

##### *PARTICIPANT ACCOUNTS*

Each participant's account is credited with the participant's contribution, Employer contributions as well as allocations of (a) the Employer's discretionary non-elective profit sharing contributions and (b) Plan earnings and expenses. Allocations of earnings are based on participant account balances, as defined. Employer discretionary non-elective profit sharing contributions are allocated based on employee compensation amounts. Participant accounts are charged with an allocation of administrative expenses that are paid by the Plan. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

##### *ELIGIBILITY*

Employees of the Company are generally eligible to make 401(k) deferrals and receive Employer discretionary matching contributions upon completing ninety days of service. An employee must work a minimum of 1,000 hours to be eligible for Employer discretionary non-elective profit sharing contributions and to earn a year of vesting.

##### *ADMINISTRATIVE EXPENSES*

Expenses incurred in connection with the general administration of the Plan are paid directly by the Plan sponsor and are excluded from these financial statements. Transaction fees and expenses attributable to self-directed investments are charged to the participant's account as well as fees related to the administration of notes receivables from participants are charged directly to the participant's account and are included in administrative expenses. Investment related expenses are included in net appreciation of fair value of investments.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

### AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022

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#### NOTE 1 – DESCRIPTION OF PLAN (CONTINUED)

##### *VESTING*

Participants are vested immediately in their employee contribution and rollover balances plus actual earnings thereon. Participants become vested in their Employer contributions in accordance with the following schedule:

| <u>Participant's Number of<br/>Years of Vesting Service</u> | <u>Vested<br/>Percentage</u> |
|-------------------------------------------------------------|------------------------------|
| 1                                                           | 20 percent                   |
| 2                                                           | 40 percent                   |
| 3                                                           | 60 percent                   |
| 4                                                           | 80 percent                   |
| 5                                                           | 100 percent                  |

In the event of death or disability, participants become fully vested in their account.

##### *INVESTMENT OPTIONS*

Participants are permitted to exercise control over the investment of the assets in their accounts, provided the investment is legally permissible and is administratively feasible. Transaction fees and expenses attributable to investments are charged directly to the participant's account.

Alternatively, participants may choose to have all or a portion of the assets in their accounts invested at the direction of an investment manager. Participants may change their investment options daily.

##### *NOTES RECEIVABLE FROM PARTICIPANTS*

Participants may borrow from their accounts a minimum of \$1,000 up to a maximum equal to the lesser of \$50,000 or 50 percent of their vested account balance. A participant is not allowed to have more than two outstanding loans at any time. The loans are secured by the balance in the participant's account and bear interest at current market rates. Interest rates at December 31, 2022 and 2021 ranged from 5.25% to 7.50%. Principal and interest is paid ratably through payroll deductions up to a five year period, except for loans used to purchase a residence, which may be repaid over a longer period.

The Plan adopted certain relief provisions included in the CARES Act, including increasing loan limits up to the lesser of 100% of the vested account balance or \$100,000 and loan repayment extension allowing payments to be deferred up to one year.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

### AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022

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#### NOTE 1 – DESCRIPTION OF PLAN (CONTINUED)

##### *PAYMENTS OF BENEFITS*

Participants are entitled to a distribution of their vested benefits upon retirement, termination of employment, death or permanent and total disability. The Plan also allows participants to make hardship withdrawals.

##### *FORFEITURES*

When a participant terminates employment prior to completing five years of service, their unvested Employer contributions and the net investment income thereon are forfeited. Forfeitures are retained in the Plan and will be used to reduce future Employer contributions. At December 31, 2022 and 2021, forfeited nonvested accounts totaled \$6,370 and \$13,915 respectively. Amounts used to pay Employer contributions for the plan year ended December 31, 2022 were \$78,182 from forfeited non-vested accounts.

#### NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

##### *BASIS OF ACCOUNTING*

The financial statements of the plan are prepared using the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America.

##### *INVESTMENT VALUATION AND INCOME RECOGNITION*

The Plan's investments are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 3 for discussion on fair value measurements.

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. Dividends and interest are immediately reinvested in the individual investments. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year.

The Plan presents in the statement of changes in net assets available for benefits the net appreciation in the fair value of its investments which consists of the realized gains or losses and the unrealized appreciation on those investments. Costs of securities sold is determined based upon specific identification of the asset. The Plan's Board of Trustees determine the Plan's valuation policies utilizing information provided by the investment advisors, custodian and insurance company.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

AS OF DECEMBER 31, 2022 AND 2021 AND  
FOR THE YEAR ENDED DECEMBER 31, 2022

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### NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

#### *USE OF ESTIMATES*

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan administrator to make estimates and assumptions that affect the reported amounts of Plan assets and liabilities and changes therein, and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

#### *RISKS AND UNCERTAINTIES*

The Plan provides for investment options in various investment securities. Investment securities are exposed to various risks, such as interest rate, market and credit risks. Market risks include global events which could impact the value of investment securities, such as a pandemic or international conflict. 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 changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

#### *NOTES RECEIVABLE FROM PARTICIPANTS*

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Delinquent participant loans are reclassified as distributions based upon the terms of the plan document. No allowance for credit losses has been recorded as of December 31, 2022 and 2021.

#### *CONTRIBUTIONS*

Contributions to the Plan are recorded in the Plan year to which the contribution relates. Employee rollover contributions are recorded when received.

#### *PAYMENT OF BENEFITS*

Benefits are recorded when paid.

#### *SUBSEQUENT EVENTS*

The Plan has evaluated subsequent events through February 14, 2024, the date the financial statements were available to be issued. Other than information noted below, there were no material subsequent events that required recognition or additional disclosure in the financial statements.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

AS OF DECEMBER 31, 2022 AND 2021 AND  
FOR THE YEAR ENDED DECEMBER 31, 2022

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### NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

#### *SUBSEQUENT EVENTS (CONTINUED)*

On January 5, 2023, participant assets totaling \$12,236,449 were transferred to Transamerica Financial Life Insurance Company.

### NOTE 3 – FAIR VALUE MEASUREMENTS

The framework for measuring fair value provides 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 or liabilities (level 1) and the lowest priority to unobservable inputs (level 3). Valuation techniques maximize the use of relevant observable inputs and minimize the use of unobservable inputs. The three levels of the fair value hierarchy under FASB ASC 820 are described as follows:

Level 1 Inputs to the valuation methodology are unadjusted quoted prices in active markets for identical assets or liabilities in active markets that the Plan has the ability to access at the measurement date.

Level 2 Inputs other than quoted prices included within level 1 that are observable for the asset and liability, either directly or indirectly, such as:

- Quoted prices for similar assets or liabilities in active markets;
- Quoted prices for identical or similar assets or liabilities in inactive markets;
- Inputs other than quoted prices that are observable for the asset or liability;
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the level 2 input must be observable for substantially the full term of the asset or liability.

Level 3 Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2022 and 2021.

*Corporate bonds:* Valued using pricing models maximizing the use of observable inputs for similar securities. This includes basing value on yields currently available on comparable securities of issuers with similar credit ratings.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

### AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022

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#### NOTE 3 – FAIR VALUE MEASUREMENTS (CONTINUED)

*Common stock:* Valued at the closing price reported in the active market in which the individual securities are traded.

*Registered investment companies:* Valued at the net asset value (NAV) of shares held by the Plan at year-end. Mutual funds held by the Plan are open-ended mutual funds that are registered with the U.S. Securities and Exchange Commission. These funds are required to publish their daily net asset value and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

*Pooled Separate Accounts:* Valued based on the observable net asset value (NAV) of the underlying investment or the net asset value of the underlying pool of securities. The NAV of these accounts is not a public-quoted price in an active market. There are currently no participant redemption restrictions on these investments; the redemption notice period is applicable only to the Plan.

The preceding methods described may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following table sets forth by level, within fair value hierarchy, the Plan's assets at fair value as of December 31, 2022 and 2021:

|                                 | Assets at Fair Value as of December 31, 2022 |                   |              |                      |
|---------------------------------|----------------------------------------------|-------------------|--------------|----------------------|
|                                 | Level 1                                      | Level 2           | Level 3      | Total                |
| Corporate bonds                 | \$ --                                        | \$ 371,473        | \$ --        | \$ 371,473           |
| Government securities           | 99,052                                       | --                | --           | 99,052               |
| Common stock                    | 5,134,139                                    | --                | --           | 5,134,139            |
| Registered investment companies | 4,517,566                                    | --                | --           | 4,517,566            |
| Total assets at fair value      | <u>\$ 9,750,757</u>                          | <u>\$ 371,473</u> | <u>\$ --</u> | <u>\$ 10,122,230</u> |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## NOTES TO FINANCIAL STATEMENTS

AS OF DECEMBER 31, 2022 AND 2021 AND  
FOR THE YEAR ENDED DECEMBER 31, 2022

### NOTE 3 – FAIR VALUE MEASUREMENTS (CONTINUED)

|                                 | Assets at Fair Value as of December 31, 2021 |            |         |               |
|---------------------------------|----------------------------------------------|------------|---------|---------------|
|                                 | Level 1                                      | Level 2    | Level 3 | Total         |
| Corporate bonds                 | \$ --                                        | \$ 462,139 | \$ --   | \$ 462,139    |
| Common stock                    | 7,365,453                                    | --         | --      | 7,365,453     |
| Registered investment companies | 5,759,106                                    | --         | --      | 5,759,106     |
| Pooled separate accounts*       |                                              |            |         | 17,777,645    |
| Total assets at fair value      | \$ 13,124,559                                | \$ 462,139 | \$ --   | \$ 31,364,343 |

\*- In accordance with Accounting Standards Codification Subtopic 820-10, certain investments measured at net asset value (NAV) per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented in the Statements of Net Assets Available for Benefits.

The following tables summarize investments for which fair value is measured using the NAV per share practical expedient as of December 31, 2021:

| December 31, 2021               | Fair Value    | Unfunded Commitments | Redemption Frequency (if Currently Eligible) | Redemption Notice Period |
|---------------------------------|---------------|----------------------|----------------------------------------------|--------------------------|
| Pooled separate accounts:       |               |                      |                                              |                          |
| Balanced/asset allocation funds | \$ 10,391,737 | N/A                  | Daily                                        | Daily                    |
| Aggressive growth funds         | \$ 1,700,781  | N/A                  | Daily                                        | Daily                    |
| Growth funds                    | \$ 5,004,216  | N/A                  | Daily                                        | Daily                    |
| Growth and income funds         | \$ 73,341     | N/A                  | Daily                                        | Daily                    |
| Income funds                    | \$ 593,569    | N/A                  | Daily                                        | Daily                    |
| Conservative funds              | \$ 14,001     | N/A                  | Daily                                        | Daily                    |
|                                 | \$ 17,777,645 |                      |                                              |                          |

The pooled separate accounts' investment strategies are listed below:

Balanced/asset allocation funds seek to achieve current income and growth of capital by investing in a diversified portfolio of fixed-income securities and equity securities with an overall goal of total return with reduced risk over the long-term.

Aggressive growth funds seek long-term growth of capital by primarily investing in stocks of small and mid-cap companies in both domestic and international economies.

# **MAINE EYE CENTER, P.A. PROFIT SHARING PLAN**

## **NOTES TO FINANCIAL STATEMENTS**

### **AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022**

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#### **NOTE 3 – FAIR VALUE MEASUREMENTS (CONTINUED)**

Growth funds seek long-term growth by primarily investing in mid-cap and large cap, both domestic and international stocks.

Growth and income funds seek to preserve a broadly diversified portfolio across all market cycles with relatively low to moderate levels of volatility.

Income funds seek to invest in a diversified portfolio of debt securities, high-yield and emerging markets which provide a higher level of volatility.

Conservative funds seek to provide a steady stream of income and some protection against stock market volatility. Investments from this category are normally fixed income securities primarily in U.S government agency and U.S. treasury securities.

#### **NOTE 4 – INFORMATION CERTIFIED BY THE CUSTODIAN**

Certain information related to investments and notes receivable from participants disclosed in the accompanying financial statements and ERISA-required supplemental schedules, was obtained by management and agreed to or derived from information certified as complete and accurate by John Hancock Life Insurance Company (U.S.A) (the custodian of the Plan). This information has not been audited by the Plan's independent auditors.

Assets held by John Hancock Life Insurance Company (U.S.A) as custodian as of December 30, 2022 and December 31, 2021 include noninterest bearing cash of \$12,151,053 and \$0, respectively, cash (including money market funds) of \$0 and \$33,579, respectively, pooled separate accounts of \$0 and \$17,777,645, respectively, and participant notes receivable of \$86,112 and \$84,242, respectively. Loss certified by John Hancock Life Insurance Company (U.S.A) included net depreciation in fair value of investments of \$2,954,068 and interest income on notes receivable from participants of \$5,426 for the period January 1, 2022 to December 30, 2022. On December 31, 2022, the Plan assets from John Hancock were transferred to Transamerica Financial Life Insurance Company and received by Transamerica on January 6, 2023.

# **MAINE EYE CENTER, P.A. PROFIT SHARING PLAN**

## **NOTES TO FINANCIAL STATEMENTS**

### **AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022**

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#### **NOTE 4 – INFORMATION CERTIFIED BY THE CUSTODIAN (CONTINUED)**

Certain other assets in the Plan are held in self-directed brokerage accounts and are not included in the certification received from the custodian. Investments not certified as of December 31, 2022 consist of cash (including money market funds) of \$334,286, common stock of \$5,134,139, corporate bonds of \$371,473, U.S. Government securities of \$99,052 and mutual funds of \$4,517,566. Income not certified included net depreciation in fair value of investments of \$3,308,975 and interest and dividends of \$398,047 for the year ended December 31, 2022. Investments not certified as of December 31, 2021 consist of cash (including money market funds) of \$196,376, common stock of \$7,365,453, corporate bonds of \$462,139 and mutual funds of \$5,759,106.

#### **NOTE 5 – PLAN TERMINATION**

Although it has not expressed any intent to do so, the Company has the right under the plan to discontinue its contributions at any time and to terminate the plan subject to the provisions of ERISA. In the event of plan termination, participants would become 100 percent vested in their employer contributions.

#### **NOTE 6 – TAX STATUS**

Effective January 1, 2021, Maine Eye Center, P.A. has adopted a non-standardized pre-approved profit sharing plan sponsored by Downeast Pension Services, Inc. The Internal Revenue Service issued an opinion letter for the non-standardized pre-approved profit sharing plan on June 30, 2020 stating that the non-standardized pre-approved profit sharing plan is acceptable under Section 401(a) of the Internal Revenue Code. The Plan has been amended since the date of the opinion letter. However, the plan administrator believes that the Plan is currently designed and being operated in compliance with the applicable requirements of the Internal Revenue Code.

Accounting principles generally accepted in the United States of America require Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan and has concluded that as of December 31, 2022 and 2021, there are no uncertain tax positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements.

# **MAINE EYE CENTER, P.A. PROFIT SHARING PLAN**

## **NOTES TO FINANCIAL STATEMENTS**

### **AS OF DECEMBER 31, 2022 AND 2021 AND FOR THE YEAR ENDED DECEMBER 31, 2022**

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#### **NOTE 7 – RELATED PARTY AND PARTY-IN-INTEREST TRANSACTIONS**

Plan investments are partly managed by John Hancock Life Insurance Company (U.S.A). John Hancock Life Insurance Company (U.S.A) is the custodian as defined by the Plan. These transactions qualify as exempt party-in-interest transactions. Fees paid by the Plan for the investment administrative services amounted to \$36,898 for the year ended December 31, 2022.

Certain employees and officers of the Company, who may also be participants in the Plan, perform administrative services to the Plan at no cost to the Plan. The Plan extends loans to participants who are considered parties-in-interest and are also exempt from the prohibited transaction rules.

#### **NOTE 8 – TRANSFER OF ASSETS TO NEW CUSTODIAN**

On December 31, 2022, Plan assets were transferred from John Hancock Life Insurance Company (U.S.A) (“original custodian”) to Transamerica Financial Life Insurance Company (“new custodian”). Plan assets were converted to cash on December 30, 2022 and then transferred into funds comparable to those offered by the previous custodian. The conversion initiated a “Black Out” period beginning December 31, 2022 and continued February 6, 2023. During this period, funds could not be applied to the employee selected funds with the custodian or withdrawn from the Plan until the original custodian had time to accurately complete the transfer and conversion of funds. During this period, employee contributions continued to be made through payroll deductions and the contributions were remitted to the new custodian after each pay period. At the end of the Black Out period, these funds were invested in funds as requested by each participant.

#### **NOTE 9 – DELINQUENT PARTICIPANT CONTRIBUTIONS**

The Company determined that certain remittances of employee deferrals and/or loan payments for the Plan year ended December 31, 2022 were not made timely in accordance with Department of Labor’s regulation. The Company has reported all such remittances in the supplemental schedule of delinquent participant contributions. The Plan sponsor is in the process of correcting the error outside of the Voluntary Fiduciary Correction Program.

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4a – SCHEDULE OF DELINQUENT PARTICIPANT CONTRIBUTIONS

FOR THE YEAR ENDED DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| Participant Contributions<br>Transferred Late to Plan | Check here if<br>Late<br>Participant<br>Loan<br>Repayments<br>are included | Total that Constitutes Nonexempt Prohibited Transactions |                                            |                                                   |                                                              |
|-------------------------------------------------------|----------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------|---------------------------------------------------|--------------------------------------------------------------|
|                                                       |                                                                            | Contributions<br>Not corrected                           | Contributions<br>Corrected<br>Outside VFCP | Contributions<br>pending<br>Correction<br>In VFCP | Total Fully<br>Corrected<br>Under VFCP<br>And PTW 2002<br>51 |
| January 31, 2022                                      |                                                                            | \$ 2,873 *                                               | \$ --                                      | \$ --                                             | \$ --                                                        |
| February 11, 2022                                     |                                                                            | 8,679 *                                                  | --                                         | --                                                | --                                                           |
| April 22, 2022                                        |                                                                            | 10,232 *                                                 | --                                         | --                                                | --                                                           |
| August 29, 2022                                       |                                                                            | 982 *                                                    | --                                         | --                                                | --                                                           |
| September 9, 2022                                     |                                                                            | 3,629 *                                                  | --                                         | --                                                | --                                                           |
| October 20, 2022                                      |                                                                            | <u>5,379</u> *                                           | <u>--</u>                                  | <u>--</u>                                         | <u>--</u>                                                    |
| Total                                                 |                                                                            | <u>\$ 31,774</u>                                         | <u>\$ --</u>                               | <u>\$ --</u>                                      | <u>\$ --</u>                                                 |

\* Lost earnings were calculated and will be deposited into the plan during the year ended December 31, 2023

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| (a)                                        | (b) Identity of issue,<br>borrower, lessor, or similar party | (c) Description of investment including<br>maturity rate, rate of interest, collateral,<br>par or maturity value | (d) Cost | (e) Current<br>Value |
|--------------------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| <b>NONINTEREST-BEARING CASH</b>            |                                                              |                                                                                                                  |          |                      |
| *                                          | Cash - John Hancock                                          | Cash                                                                                                             | **       | \$ 12,151,053        |
| <b>CASH (INCLUDING MONEY MARKET FUNDS)</b> |                                                              |                                                                                                                  |          |                      |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 14,506               |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 9,930                |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 81,098               |
|                                            | Fidelity Inc                                                 | Government Cash Reserves Fund                                                                                    | **       | 112,769              |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 103,961              |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 12,017               |
|                                            | Fidelity Inc                                                 | Government Cash Reserves Fund                                                                                    | **       | 5                    |
|                                            |                                                              |                                                                                                                  |          | <u>334,286</u>       |
| <b>CORPORATE BONDS</b>                     |                                                              |                                                                                                                  |          |                      |
|                                            | Canadian Imperial Bank                                       | Canadian Imperial Bank .95% 6/23/23                                                                              | **       | 7,852                |
|                                            | Caterpillar Financial                                        | Caterpillar Finl Service 0.65% 07/07/23                                                                          | **       | 7,863                |
|                                            | Comcast                                                      | Comcast Corp NTS B/E 3.7% 4/15/24                                                                                | **       | 5,957                |
|                                            | Morgan Stanley                                               | Morgan Stanley B/E 3.875% 4/29/24                                                                                | **       | 5,948                |
|                                            | Morgan Stanley                                               | Morgan Stanley NTS B/E 3.7% 10/23/24                                                                             | **       | 1,967                |
|                                            | Walt Disney                                                  | Walt Disney Co 3.35% 3/24/25                                                                                     | **       | 3,912                |
|                                            | Oracle                                                       | Oracle Corp NTS B/E 2.5% 4/1/25                                                                                  | **       | 5,692                |
|                                            | Citigroup                                                    | Citigroup Inc B/E 3.3% 4/27/25                                                                                   | **       | 5,849                |
|                                            | Bank of America                                              | Bank of Amer Corp NTS 3.093% 10/1/25                                                                             | **       | 1,931                |
|                                            | Equinor                                                      | Equinor ASA NTS B/E 1.75% 1/22/26                                                                                | **       | 1,845                |
|                                            | JPMorgan Chase                                               | JPMorgan Chase & Co B/E 3.3% 4/1/26                                                                              | **       | 5,742                |
|                                            | Bank of Nova Scotia                                          | Bank of Nova Sco 1.35% 06/24/26                                                                                  | **       | 7,104                |
|                                            | Nvidia                                                       | Nvidia Corp NTS 3.2% 9/16/26                                                                                     | **       | 1,921                |
|                                            | Wells Fargo                                                  | Wells Fargo & Co B/E 3% 10/23/26                                                                                 | **       | 5,586                |
|                                            | Goldman Sachs                                                | Goldman Sachs Group Inc 3.85% 1/26/27                                                                            | **       | 1,937                |
|                                            | AT&T                                                         | AT&T Inc NTS B/E 2.3% 6/1/27                                                                                     | **       | 1,786                |
|                                            | Pacific Gas & Electric                                       | Pacific Gas & Elec NTS 2.1% 8/1/27                                                                               | **       | 6,906                |
|                                            | Comcast                                                      | Comcast Corp New 3.15% 2/15/28                                                                                   | **       | 1,872                |
|                                            | TransCanada                                                  | TransCanada Pipelines 4.25% 5/15/28                                                                              | **       | 5,724                |
|                                            | Abbvie                                                       | Abbvie Inc B/E 4.25% 11/14/28                                                                                    | **       | 5,830                |
|                                            | HCA                                                          | HCA Inc NTS B/E 4.125% 6/15/29                                                                                   | **       | 1,834                |
|                                            | AT&T                                                         | AT&T Inc NTS B/E 4.3% 2/15/30                                                                                    | **       | 5,765                |
|                                            | Goldman Sachs                                                | Goldman Sachs Group Inc 3.8% 3/15/30                                                                             | **       | 5,469                |
|                                            | NVIDIA                                                       | NVIDIA Corp B/E 2.85% 4/1/30                                                                                     | **       | 1,761                |
|                                            | Exelon                                                       | Exelon Corp NTS B/E 4.05% 4/15/30                                                                                | **       | 5,635                |
|                                            | JPMorgan Chase                                               | JP Morgan Chase 2.739% 10/15/30                                                                                  | **       | 1,693                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| (a)                                | (b) Identity of issue,<br>borrower, lessor, or similar party | (c) Description of investment including<br>maturity rate, rate of interest, collateral,<br>par or maturity value | (d) Cost | (e) Current<br>Value |
|------------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| <b>CORPORATE BONDS (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                    | Wells Fargo                                                  | Wells Fargo & Co B/E 0.0% 10/30/30                                                                               | **       | 1,715                |
|                                    | Walt Disney                                                  | Walt Disney Co 2.65% 1/13/31                                                                                     | **       | 3,471                |
|                                    | Home Depot                                                   | Home Depot Inc 1.875% 09/15/31                                                                                   | **       | 1,614                |
|                                    | Bank of America                                              | Bank of America B/E 2.299% 7/21/32                                                                               | **       | 1,566                |
|                                    | Apple                                                        | Apple Inc Call@MW 2.4% 5/3/23                                                                                    | **       | 41,823               |
|                                    | Berkshire Hathaway                                           | Berkshire Hathaway Energ Call 3.5% 2/1/25                                                                        | **       | 14,942               |
|                                    | Citigroup                                                    | Citigroup Inc B/E 4.4% 6/10/25                                                                                   | **       | 24,619               |
|                                    | McDonalds                                                    | McDonalds Corp B/E 3.7% 1/30/26                                                                                  | **       | 34,606               |
|                                    | American Intel                                               | American Intl Group B/E Call 3.9% 4/1/26                                                                         | **       | 19,588               |
|                                    | Microsoft                                                    | Microsoft Corp B/E 3.3% 2/6/27                                                                                   | **       | 39,118               |
|                                    | Verizon                                                      | Verizon Communications 4.125% 3/16/27                                                                            | **       | 14,809               |
|                                    | Boeing                                                       | Boeing Co B/E 3.25% 3/1/28                                                                                       | **       | 22,651               |
|                                    | Anthem                                                       | Anthem Inc NTS B/E 2.875% 9/15/29                                                                                | **       | 35,570               |
|                                    |                                                              |                                                                                                                  |          | <u>371,473</u>       |
| <b>COMMON STOCK</b>                |                                                              |                                                                                                                  |          |                      |
|                                    | Abbott                                                       | Abbott Labs                                                                                                      | **       | 10,759               |
|                                    | Abbvie                                                       | AbbVie Inc                                                                                                       | **       | 12,120               |
|                                    | Adobe                                                        | Adobe Inc (Delaware)                                                                                             | **       | 2,019                |
|                                    | Advanced Micro Technologies                                  | Advanced Micro Technologies                                                                                      | **       | 712                  |
|                                    | Akami Technologies                                           | Akami Technologies Inc                                                                                           | **       | 2,276                |
|                                    | Alcon                                                        | Alcon Inc CHF                                                                                                    | **       | 891                  |
|                                    | Alphabet                                                     | Alphabet Inc                                                                                                     | **       | 37,850               |
|                                    | Amazon                                                       | Amazon.com Inc                                                                                                   | **       | 29,652               |
|                                    | American Tower                                               | American Tower Corp REIT                                                                                         | **       | 11,228               |
|                                    | American Express                                             | American Express Co                                                                                              | **       | 5,023                |
|                                    | Ameriprise Financial                                         | Ameriprise Financial Inc                                                                                         | **       | 10,587               |
|                                    | Apple                                                        | Apple Inc                                                                                                        | **       | 32,742               |
|                                    | Applied Materials                                            | Applied Materials Inc                                                                                            | **       | 12,464               |
|                                    | APTIV                                                        | APTIV PLC                                                                                                        | **       | 1,304                |
|                                    | Ashtead                                                      | Ashtead Group PLC                                                                                                | **       | 1,357                |
|                                    | Astrazeneca                                                  | Astrazeneca PLC                                                                                                  | **       | 9,695                |
|                                    | AXA                                                          | AXA ADR                                                                                                          | **       | 2,090                |
|                                    | Becton Dickinson                                             | Becton Dickinson & Co                                                                                            | **       | 8,392                |
|                                    | Bio Rad                                                      | Bio Rad Laboratories Inc                                                                                         | **       | 1,261                |
|                                    | BostonScientific                                             | Boston Scientific Corp                                                                                           | **       | 14,668               |
|                                    | Broadcom                                                     | Broadcom Inc                                                                                                     | **       | 8,387                |
|                                    | Brunswick Corp.                                              | Brunswick Corp.                                                                                                  | **       | 649                  |
|                                    | Cadence Desgin                                               | Cadence Desgin System                                                                                            | **       | 1,124                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| (a)                             | (b) Identity of issue,<br>borrower, lessor, or similar party | (c) Description of investment including<br>maturity rate, rate of interest, collateral,<br>par or maturity value | (d) Cost | (e) Current<br>Value |
|---------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| <b>COMMON STOCK (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                 | Cisco Systems                                                | Cisco Systems Inc                                                                                                | **       | 6,765                |
|                                 | Coca Cola                                                    | Coca Cola Co Comp                                                                                                | **       | 10,686               |
|                                 | Comcast                                                      | Comcast Corp                                                                                                     | **       | 4,721                |
|                                 | CME Group                                                    | CME Group Inc                                                                                                    | **       | 6,726                |
|                                 | Conocophillips                                               | Conocophillips                                                                                                   | **       | 8,614                |
|                                 | Costco                                                       | Costco Wholesale Corp                                                                                            | **       | 14,152               |
|                                 | Crown Castle                                                 | Crown Castle                                                                                                     | **       | 6,104                |
|                                 | CVS                                                          | CVS Health Group                                                                                                 | **       | 8,667                |
|                                 | Danaher                                                      | Danaher Corp                                                                                                     | **       | 10,085               |
|                                 | Danone                                                       | Danone Sponsored ADR                                                                                             | **       | 736                  |
|                                 | Dollar General                                               | Dollar Gen Corp                                                                                                  | **       | 7,633                |
|                                 | Ecolab                                                       | Ecolab Inc                                                                                                       | **       | 1,310                |
|                                 | Electronic Arts                                              | Electronic Arts                                                                                                  | **       | 1,222                |
|                                 | Emerson Electric                                             | Emerson Electric                                                                                                 | **       | 5,379                |
|                                 | Equinor                                                      | Equinor ASA Sponor ADR                                                                                           | **       | 2,722                |
|                                 | Exxon Mobil Corp                                             | Exxon Mobil Corp                                                                                                 | **       | 13,236               |
|                                 | Fidelity Inc                                                 | Fidelity National Information SVCS                                                                               | **       | 814                  |
|                                 | Genmab                                                       | Genmab A/S Sponsor ADR                                                                                           | **       | 1,144                |
|                                 | Goldman Sachs                                                | Goldman Sachs Group Inc                                                                                          | **       | 5,837                |
|                                 | Hess                                                         | Hess Corp                                                                                                        | **       | 2,553                |
|                                 | Home Depot                                                   | Home Depot Inc                                                                                                   | **       | 11,055               |
|                                 | Honeywell                                                    | Honeywell Intl Inc                                                                                               | **       | 9,429                |
|                                 | HSBC Holdings PLC                                            | HSBC Holdings PLC                                                                                                | **       | 717                  |
|                                 | Ingersoll                                                    | Ingersoll Rand Inc                                                                                               | **       | 1,881                |
|                                 | Intuitive Surgical Inc.                                      | Intuitive Surgical Inc.                                                                                          | **       | 11,941               |
|                                 | JP Morgan Chase                                              | JP Morgan Chase & Co                                                                                             | **       | 6,571                |
|                                 | Knorr Bremse                                                 | Knorr Bremse                                                                                                     | **       | 823                  |
|                                 | Koninklijke Philips                                          | Koninklijke Philips                                                                                              | **       | 645                  |
|                                 | Laboratroy                                                   | Laboratory Corp                                                                                                  | **       | 1,177                |
|                                 | Lauder Estee                                                 | Lauder Estee                                                                                                     | **       | 8,932                |
|                                 | Li Auto                                                      | Li Auto                                                                                                          | **       | 408                  |
|                                 | Lilly Eli                                                    | Lilly Eli & CO                                                                                                   | **       | 14,267               |
|                                 | Linde                                                        | Linde PLC                                                                                                        | **       | 11,742               |
|                                 | Lockheed Martin                                              | Lockheed Martin Corp                                                                                             | **       | 7,297                |
|                                 | London Stock Exchange Group                                  | London Stock Exchange Group                                                                                      | **       | 1,803                |
|                                 | Marsh & McLennan                                             | Marsh & McLennan                                                                                                 | **       | 1,655                |
|                                 | McDonalds                                                    | McDonalds Corp                                                                                                   | **       | 9,224                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

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| <b>COMMON STOCK (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                 | Mesto                                                        | Mesto Outotec Oyj                                                                                                | **       | 1,487                |
|                                 | Michelin                                                     | Michelin                                                                                                         | **       | 1,109                |
|                                 | Micron                                                       | Micron Technology Inc                                                                                            | **       | 800                  |
|                                 | Microsoft                                                    | Microsoft                                                                                                        | **       | 68,349               |
|                                 | Montrose Environmental                                       | Montrose Environmental                                                                                           | **       | 1,154                |
|                                 | Morgan Stanley                                               | Morgan Stanley                                                                                                   | **       | 5,866                |
|                                 | MSA Safety                                                   | MSA Safety                                                                                                       | **       | 1,154                |
|                                 | Netflix                                                      | Netflix Inc.                                                                                                     | **       | 1,180                |
|                                 | Nextera                                                      | Nextera Energy Inc                                                                                               | **       | 8,360                |
|                                 | Nike                                                         | Nike Corp                                                                                                        | **       | 10,180               |
|                                 | Nippon                                                       | Nippon Telegraph and Telephone                                                                                   | **       | 678                  |
|                                 | Norfolk                                                      | Norfolk Corp                                                                                                     | **       | 6,407                |
|                                 | Norsk Hydro                                                  | Norsk Hydro A.S. Ord Nok                                                                                         | **       | 1,101                |
|                                 | NXP                                                          | NXP Semiconductors                                                                                               | **       | 474                  |
|                                 | O'Reilly                                                     | O'Reilly Automotive Inc                                                                                          | **       | 10,128               |
|                                 | OKTA                                                         | OKTA Inc                                                                                                         | **       | 478                  |
|                                 | On Semiconductor                                             | On Semiconductor Corp                                                                                            | **       | 561                  |
|                                 | Palo Alto                                                    | Palo Alto Semiconductor Corp                                                                                     | **       | 7,675                |
|                                 | Parker Hannifin                                              | Parker Hannifin Inc                                                                                              | **       | 6,984                |
|                                 | Proctor & Gamble                                             | Proctor & Gamble Inc                                                                                             | **       | 20,158               |
|                                 | Prologis                                                     | Prologis Inc                                                                                                     | **       | 7,440                |
|                                 | Prysmian                                                     | Prysmian SPA Milano                                                                                              | **       | 1,110                |
|                                 | Mandiri                                                      | PT BK Mandiri Persero                                                                                            | **       | 1,119                |
|                                 | Raytheon                                                     | Raytheon Technologies Inc                                                                                        | **       | 8,578                |
|                                 | Regal Rexnord                                                | Regal Rexnord Corp                                                                                               | **       | 720                  |
|                                 | Rivian                                                       | Rivian Automotive Inc                                                                                            | **       | 184                  |
|                                 | Rockwell                                                     | Rockwell Automation                                                                                              | **       | 5,409                |
|                                 | S&P Global                                                   | S&P Global Inc                                                                                                   | **       | 7,369                |
|                                 | Sage Group                                                   | Sage Group PLC                                                                                                   | **       | 1,247                |
|                                 | SalesForce                                                   | SalesForce.com Inc                                                                                               | **       | 11,800               |
|                                 | Schlumberger                                                 | Schlumberger LTD                                                                                                 | **       | 9,141                |
|                                 | Sherwin Williams                                             | Sherwin Williams Co                                                                                              | **       | 11,629               |
|                                 | Shoals                                                       | Shoals technologies Group Inc                                                                                    | **       | 789                  |
|                                 | SLM Corp                                                     | SLM Corp                                                                                                         | **       | 847                  |
|                                 | Snowflake                                                    | Snowflake Inc                                                                                                    | **       | 431                  |
|                                 | Societe Generale                                             | Societe Generale Inc                                                                                             | **       | 1,002                |
|                                 | Softbank                                                     | Softbank Group                                                                                                   | **       | 1,269                |
|                                 | Sony                                                         | Sony Group Corp                                                                                                  | **       | 1,373                |
|                                 | Spectris                                                     | Spectris PLC                                                                                                     | **       | 1,118                |
|                                 | Splunk Inc                                                   | Splunk Inc                                                                                                       | **       | 689                  |
|                                 | Starbuck                                                     | Starbucks Corp                                                                                                   | **       | 1,488                |
|                                 | Sweetgreen                                                   | Sweetgreen Inc                                                                                                   | **       | 309                  |
|                                 | Sysco                                                        | Sysco Corp                                                                                                       | **       | 5,887                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

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| <b>COMMON STOCK (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                 | Target                                                       | Target Corp                                                                                                      | **       | 3,279                |
|                                 | Technopro Holdings                                           | Technopro Holdings LTD                                                                                           | **       | 853                  |
|                                 | Tencent Holdings                                             | Tencent Holdings LTD                                                                                             | **       | 678                  |
|                                 | Texas Instruments                                            | Texas Instruments                                                                                                | **       | 12,721               |
|                                 | Thermo Fisher                                                | Thermo Fisher Scientific Inc                                                                                     | **       | 10,463               |
|                                 | TJX                                                          | TJX COS Inc                                                                                                      | **       | 16,000               |
|                                 | Travelers                                                    | Travelers Cos Inc                                                                                                | **       | 7,312                |
|                                 | UBI Soft Entertainment                                       | UBI Soft Entertainment                                                                                           | **       | 705                  |
|                                 | Unilever                                                     | Unilever PLC                                                                                                     | **       | 1,561                |
|                                 | Union Pacific                                                | Union Pacific Corp                                                                                               | **       | 10,353               |
|                                 | UnitedHealth                                                 | UnitedHealth Group Inc                                                                                           | **       | 22,797               |
|                                 | United Parcel Services                                       | United Parcel Services Inc                                                                                       | **       | 6,432                |
|                                 | Universal Display                                            | Universal Display Corp                                                                                           | **       | 1,188                |
|                                 | Vertex                                                       | Vertex Pharmaceutical Inc                                                                                        | **       | 1,444                |
|                                 | Visa                                                         | Visa Inc                                                                                                         | **       | 24,723               |
|                                 | Vmware                                                       | Vmware Inc                                                                                                       | **       | 1,964                |
|                                 | Wells Fargo                                                  | Wells Fargo & Co                                                                                                 | **       | 7,391                |
|                                 | Walmart                                                      | Walmart Inc                                                                                                      | **       | 9,358                |
|                                 | Ishares                                                      | Ishares Semicomductors ETF                                                                                       | **       | 15,659               |
|                                 | Ishares                                                      | Ishares Global Clean Energy ETF                                                                                  | **       | 26,778               |
|                                 | Invesco                                                      | Invesco QQQ Trust ETF                                                                                            | **       | 33,285               |
|                                 | Ishares                                                      | Ishares S&P 500 Value                                                                                            | **       | 387,917              |
|                                 | Ishares                                                      | Ishares S&P 500 Growth                                                                                           | **       | 461,682              |
|                                 | Ishares                                                      | Ishares MSCI EAFE                                                                                                | **       | 109,750              |
|                                 | Ishares                                                      | Ishares MSCI Emerging Mkt                                                                                        | **       | 50,180               |
|                                 | SPDR                                                         | SPDR DJIA Trust                                                                                                  | **       | 339,613              |
|                                 | S&P Midcap                                                   | SPDR S&P Midcap 400                                                                                              | **       | 225,823              |
|                                 | Proshares                                                    | Proshares Ultra QQQ                                                                                              | **       | 476,263              |
|                                 | State Street                                                 | Energy Select Sector SPDR Fund ETF                                                                               | **       | 16,007               |
|                                 | State Street                                                 | Financial Select Sector SPDR Fund ETF                                                                            | **       | 11,149               |
|                                 | First Trust                                                  | First Trust NASDAQ Cybersecurity ETF                                                                             | **       | 21,329               |
|                                 | Ishares                                                      | Ishares S&P Mid-Cap 400 Value ETF                                                                                | **       | 40,824               |
|                                 | Ishares                                                      | Ishares S&P Small-Cap 600 Value ETF                                                                              | **       | 55,608               |
|                                 | Ishares                                                      | Ishares Global Energy ETF                                                                                        | **       | 15,440               |
|                                 | Vaneck                                                       | Vaneck Agribusiness ETF                                                                                          | **       | 35,624               |
|                                 | Vanguard                                                     | Vanguard Small Cap Growth ETF                                                                                    | **       | 36,498               |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

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| <b>COMMON STOCK (CONTINUED)</b>        |                                                              |                                                                                                                  |          |                      |
|                                        | Vanguard                                                     | Vanguard Mid-Cap ETF                                                                                             | **       | 42,392               |
|                                        | Vanguard                                                     | Vanguard Mid-Cap Growth ETF                                                                                      | **       | 27,503               |
|                                        | Vanguard                                                     | Vanguard Health Care ETF                                                                                         | **       | 38,200               |
|                                        | Vanguard                                                     | Vanguard Industrials ETF                                                                                         | **       | 38,172               |
|                                        | Vanguard                                                     | Vanguard FTSE Emerging Mkt ETF                                                                                   | **       | 45,763               |
|                                        | Vanguard                                                     | Vanguard FTSE Developed Mkt ETF                                                                                  | **       | 44,908               |
|                                        | First Trust                                                  | First Trust Value Line Divid Index                                                                               | **       | 154,731              |
|                                        | Invesco                                                      | Invesco S&P 500 Equal Weight Financials                                                                          | **       | 115,471              |
|                                        | Ishares                                                      | Ishares U.S. Consumer Staples ETF                                                                                | **       | 58,806               |
|                                        | Ishares                                                      | Ishares MSCI USA Value Factor ETF                                                                                | **       | 98,431               |
|                                        | Vanguard                                                     | Vanguard Total Stock Mkt                                                                                         | **       | 388,498              |
|                                        | Vanguard                                                     | Vanguard FTSE Emerging Markets                                                                                   | **       | 192,387              |
|                                        | Ishares                                                      | Ishares ESG Aware 1-5 year US ETF                                                                                | **       | 105,562              |
|                                        | Ishares                                                      | Ishares Morningstar Large Cap Growth ETF                                                                         | **       | 611,421              |
|                                        |                                                              |                                                                                                                  |          | <u>5,134,139</u>     |
| <b>REGISTERED INVESTMENT COMPANIES</b> |                                                              |                                                                                                                  |          |                      |
|                                        | Calvert Green                                                | Calvert Green Bond Fund                                                                                          | **       | 40,637               |
|                                        | Calvert                                                      | Calvert Fd Income Fd                                                                                             | **       | 40,414               |
|                                        | Fidelity Inc                                                 | Guggenheim Total Return Bond Fund                                                                                | **       | 32,137               |
|                                        | Guggenheim Ltd.                                              | Guggenheim Limited Duration Fund Class I                                                                         | **       | 24,916               |
|                                        | Janus Henderson                                              | Developed World Bond Fund I                                                                                      | **       | 31,819               |
|                                        | Lord Abbett                                                  | Lord Abbett Floating Rate Fund                                                                                   | **       | 41,822               |
|                                        | Lord Abbett                                                  | Lord Abbett Short Duration Income Fund                                                                           | **       | 33,139               |
|                                        | Nuveen                                                       | Nuveen Preferred Securities and Income Fund                                                                      | **       | 32,759               |
|                                        | TIAA-CREF                                                    | TIAA-CREF Core Impact Bond Fund                                                                                  | **       | 40,202               |
|                                        | Ishares                                                      | Ishares Floating Rate Bond ETF                                                                                   | **       | 50,330               |
|                                        | Vangaurd                                                     | Vanguard Short-Term Inflation Protected SEC In                                                                   | **       | 46,710               |
|                                        | AllianceBernstein                                            | AB High Income Fund                                                                                              | **       | 27,471               |
|                                        | Blackrock                                                    | Blackrock Strategic Global Bond Fund                                                                             | **       | 19,079               |
|                                        | Carillon Reams                                               | Carillon Reams Core Plus Bond Fund                                                                               | **       | 19,425               |
|                                        | Columbia                                                     | Columbia Mortgage Opportunites Fund                                                                              | **       | 32,995               |
|                                        | Guggenheim                                                   | Guggenheim Total Return Bond Fund                                                                                | **       | 34,606               |
|                                        | US Govt                                                      | SIT US Gov't Secs                                                                                                | **       | 39                   |
|                                        | Jensen                                                       | Jensen Quality Growth Fund                                                                                       | **       | 722,692              |
|                                        | Fidelity Inc                                                 | Fidelity Total Mkt Index                                                                                         | **       | 813,193              |
|                                        | Fidelity Inc                                                 | Fidelity Contrafund                                                                                              | **       | 168,488              |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

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| <b>REGISTERED INVESTMENT COMPANIES (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                                    | Fidelity Inc                                                 | Fidelity Equity Income                                                                                           | **       | 215,256              |
|                                                    | Fidelity Inc                                                 | Fidelity Mid Cap Index Fund                                                                                      | **       | 82,578               |
|                                                    | Fidelity Inc                                                 | Fidelity Low Priced Stock                                                                                        | **       | 158,665              |
|                                                    | Fidelity Inc                                                 | Fidelity Blue Chip Growth                                                                                        | **       | 136,972              |
|                                                    | John Hancock                                                 | John Hancock disciplined Value Mid Cap Fund                                                                      | **       | 28,228               |
|                                                    | Neuberger                                                    | Neuberger Berman Large Cap Value Fund                                                                            | **       | 80,972               |
|                                                    | Smead                                                        | Smead Value Fund Class Institutional                                                                             | **       | 116,867              |
|                                                    | Vanguard                                                     | Vanguard International Growth Fund Admiral                                                                       | **       | 39,863               |
|                                                    | Eaton Vance Inc                                              | Eaton Vance Short Duration Government Inc                                                                        | **       | 17,773               |
|                                                    | Eaton Vance Inc                                              | Eaton Vance Floating Rate Advantage                                                                              | **       | 134,395              |
|                                                    | Eaton Vance Inc                                              | Eaton Vance Emerging Markets DBT Opps fund                                                                       | **       | 79,532               |
|                                                    | Guggenheim                                                   | Guggenheim Total Return Bond Fund                                                                                | **       | 33,555               |
|                                                    | Invesco                                                      | Invesco Corporate Bond Fund                                                                                      | **       | 36,894               |
|                                                    | Janus Henderson                                              | Janus Enderson Developed World Bond Fund                                                                         | **       | 36,949               |
|                                                    | Loomis                                                       | Loomis Sayles Investment Grade Bond Fund                                                                         | **       | 60,124               |
|                                                    | Lord Abbett                                                  | Lord Abbett Floating Rate Fund                                                                                   | **       | 23,059               |
|                                                    | Lord Abbett                                                  | Lord Abbett Short Duration Income Fund                                                                           | **       | 1,319                |
|                                                    | Nuveen                                                       | Nuveen Preferred Securities and Income Fund                                                                      | **       | 45,258               |
|                                                    | Pimco                                                        | Pimco Investment Grade Credit Bond Fund                                                                          | **       | 3,090                |
|                                                    | Pimco                                                        | Pimco Mortgage Opportunities & Bond Fund                                                                         | **       | 46,354               |
|                                                    | Baron                                                        | Baron Emerging Markets Fund Instl Class                                                                          | **       | 88,156               |
|                                                    | Delware IVY                                                  | Delaware IVY Mid Cap Income Opportunities I                                                                      | **       | 104,270              |
|                                                    | Eventide                                                     | Eventide Gilead Fund                                                                                             | **       | 179,154              |
|                                                    | Eventide                                                     | Eventide Healthcare Life Sciences                                                                                | **       | 158,434              |
|                                                    | First Trust                                                  | First Trust Enhanced Short Mat Fund                                                                              | **       | 147,114              |
|                                                    | Amer Funds                                                   | Amer Funds American Balanced Fund                                                                                | **       | 209,862              |
|                                                    |                                                              |                                                                                                                  |          | <u>4,517,566</u>     |
| <b>GOVERNMENT SECURITIES</b>                       |                                                              |                                                                                                                  |          |                      |
|                                                    | US Treasury Note                                             | US Treasury Note Rate 3.25% 8/31/24                                                                              | n/a      | <u>99,052</u>        |
| <b>NOTES RECEIVABLE FROM PARTICIPANTS</b>          |                                                              |                                                                                                                  |          |                      |
| *                                                  | Notes Receivable from Participants                           | Interest rates ranging from 5.25% to 7.50%,<br>due at various dates through 2026                                 | -0-      | <u>86,112</u>        |
|                                                    |                                                              |                                                                                                                  |          | <u>\$ 22,693,681</u> |

\* Party-in-interest

\*\* Investments are participant directed; cost information is not applicable.

|                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Form 5500</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security<br>Administration<br><br>Pension Benefit Guaranty Corporation | <b>Annual Return/Report of Employee Benefit Plan</b><br>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).<br><br><p style="text-align: center;">▶ <b>Complete all entries in accordance with the instructions to the Form 5500.</b></p> | OMB Nos. 1210-0110<br>1210-0089<br><br><div style="text-align: center; font-size: 1.2em; font-weight: bold;">2022</div><br><br>This Form is Open to Public Inspection |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                                                            |                                                 |
|--------------------------------------------------------------------------------------------|-------------------------------------------------|
| <b>Part I</b>                                                                              | <b>Annual Report Identification Information</b> |
| For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022 |                                                 |

**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  
☐ an amended return/report

☐ the final 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  
☒ special extension (enter description) FEMA 3598-EM Federal Disaster Area

☐ automatic extension  
☐ the DFVC program

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

|                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|-----|----------------------------------|------------|------------------------------------------------|------------|-------------------------------------------|----------------|--------------------------------------------|--------|
| <b>Part II Basic Plan Information</b> —enter all requested information                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |
| <b>1a</b> Name of plan<br><br>Maine Eye Center, P.A. Profit Sharing Plan<br><br><br><b>2a</b> Plan sponsor's name (employer, if for a single-employer plan)<br>Mailing address (include room, apt., suite no. and street, or P.O. Box)<br>City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)<br><br>Maine Eye Center, P.A.<br><br><br>15 Lowell Street<br><br>Portland, ME 04102 | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border-bottom: 1px solid black; padding: 5px;"><b>1b</b> Three-digit plan number (PN) ▶</td> <td style="border-bottom: 1px solid black; text-align: center; padding: 5px;">001</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding: 5px;"><b>1c</b> Effective date of plan</td> <td style="border-bottom: 1px solid black; text-align: center; padding: 5px;">01/01/1994</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding: 5px;"><b>2b</b> Employer Identification Number (EIN)</td> <td style="border-bottom: 1px solid black; text-align: center; padding: 5px;">01-0329291</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding: 5px;"><b>2c</b> Plan Sponsor's telephone number</td> <td style="border-bottom: 1px solid black; text-align: center; padding: 5px;">(207) 774-8277</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding: 5px;"><b>2d</b> Business code (see instructions)</td> <td style="border-bottom: 1px solid black; text-align: center; padding: 5px;">621111</td> </tr> </table> | <b>1b</b> Three-digit plan number (PN) ▶ | 001 | <b>1c</b> Effective date of plan | 01/01/1994 | <b>2b</b> Employer Identification Number (EIN) | 01-0329291 | <b>2c</b> Plan Sponsor's telephone number | (207) 774-8277 | <b>2d</b> Business code (see instructions) | 621111 |
| <b>1b</b> Three-digit plan number (PN) ▶                                                                                                                                                                                                                                                                                                                                                                                              | 001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |
| <b>1c</b> Effective date of plan                                                                                                                                                                                                                                                                                                                                                                                                      | 01/01/1994                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |
| <b>2b</b> Employer Identification Number (EIN)                                                                                                                                                                                                                                                                                                                                                                                        | 01-0329291                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |
| <b>2c</b> Plan Sponsor's telephone number                                                                                                                                                                                                                                                                                                                                                                                             | (207) 774-8277                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |
| <b>2d</b> Business code (see instructions)                                                                                                                                                                                                                                                                                                                                                                                            | 621111                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                          |     |                                  |            |                                                |            |                                           |                |                                            |        |

**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<br>HERE | <br>Signature of plan administrator    | 10/18/23<br>Date | MICHELE ALVES<br>Enter name of individual signing as plan administrator       |
| SIGN<br>HERE | <br>Signature of employer/plan sponsor | 10/18/23<br>Date | MICHELE ALVES<br>Enter name of individual signing as employer or plan sponsor |
| SIGN<br>HERE | Signature of DFE                       | Date             | Enter name of individual signing as DFE                                       |

|                                                                                                                                                                                                                                             |  |                                                                                                                                                                                                                                             |     |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| <b>3a</b> Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor                                                                                                                                    |  | <b>3b</b> Administrator's EIN                                                                                                                                                                                                               |     |
| <b>3c</b> Administrator's telephone number                                                                                                                                                                                                  |  | <b>4</b> 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:       |     |
| <b>a</b> Sponsor's name<br><b>c</b> Plan Name                                                                                                                                                                                               |  | <b>4b</b> EIN<br><b>4d</b> PN                                                                                                                                                                                                               |     |
| <b>5</b> Total number of participants at the beginning of the plan year                                                                                                                                                                     |  | <b>5</b>                                                                                                                                                                                                                                    | 222 |
| <b>6</b> Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines <b>6a(1)</b> , <b>6a(2)</b> , <b>6b</b> , <b>6c</b> , and <b>6d</b> ).                                            |  |                                                                                                                                                                                                                                             |     |
| <b>a(1)</b> Total number of active participants at the beginning of the plan year .....                                                                                                                                                     |  | <b>6a(1)</b>                                                                                                                                                                                                                                | 147 |
| <b>a(2)</b> Total number of active participants at the end of the plan year .....                                                                                                                                                           |  | <b>6a(2)</b>                                                                                                                                                                                                                                | 120 |
| <b>b</b> Retired or separated participants receiving benefits.....                                                                                                                                                                          |  | <b>6b</b>                                                                                                                                                                                                                                   | 3   |
| <b>c</b> Other retired or separated participants entitled to future benefits .....                                                                                                                                                          |  | <b>6c</b>                                                                                                                                                                                                                                   | 86  |
| <b>d</b> Subtotal. Add lines <b>6a(2)</b> , <b>6b</b> , and <b>6c</b> .....                                                                                                                                                                 |  | <b>6d</b>                                                                                                                                                                                                                                   | 209 |
| <b>e</b> Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. ....                                                                                                                                  |  | <b>6e</b>                                                                                                                                                                                                                                   | 0   |
| <b>f</b> Total. Add lines <b>6d</b> and <b>6e</b> .....                                                                                                                                                                                     |  | <b>6f</b>                                                                                                                                                                                                                                   | 209 |
| <b>g</b> Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) .....                                                                                             |  | <b>6g</b>                                                                                                                                                                                                                                   | 177 |
| <b>h</b> Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested .....                                                                                                  |  | <b>6h</b>                                                                                                                                                                                                                                   | 17  |
| <b>7</b> Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) .....                                                                                                        |  | <b>7</b>                                                                                                                                                                                                                                    |     |
| <b>8a</b> If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:<br>2A 2E 2F 2G 2J 2K 2R 2T 3D                                                  |  |                                                                                                                                                                                                                                             |     |
| <b>b</b> If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:                                                                                 |  |                                                                                                                                                                                                                                             |     |
| <b>9a</b> Plan funding arrangement (check all that apply)                                                                                                                                                                                   |  | <b>9b</b> Plan benefit arrangement (check all that apply)                                                                                                                                                                                   |     |
| (1) <input checked="" type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor |  | (1) <input checked="" type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor |     |
| <b>10</b> Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)                                                                           |  |                                                                                                                                                                                                                                             |     |
| <b>a Pension Schedules</b>                                                                                                                                                                                                                  |  | <b>b General Schedules</b>                                                                                                                                                                                                                  |     |
| (1) <input checked="" type="checkbox"/> <b>R</b> (Retirement Plan Information)                                                                                                                                                              |  | (1) <input checked="" type="checkbox"/> <b>H</b> (Financial Information)                                                                                                                                                                    |     |
| (2) <input type="checkbox"/> <b>MB</b> (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary                                                                              |  | (2) <input type="checkbox"/> <b>I</b> (Financial Information - Small Plan)                                                                                                                                                                  |     |
| (3) <input type="checkbox"/> <b>SB</b> (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary                                                                                                            |  | (3) <input checked="" type="checkbox"/> <b>1 A</b> (Insurance Information)                                                                                                                                                                  |     |
|                                                                                                                                                                                                                                             |  | (4) <input checked="" type="checkbox"/> <b>C</b> (Service Provider Information)                                                                                                                                                             |     |
|                                                                                                                                                                                                                                             |  | (5) <input type="checkbox"/> <b>D</b> (DFE/Participating Plan Information)                                                                                                                                                                  |     |
|                                                                                                                                                                                                                                             |  | (6) <input type="checkbox"/> <b>G</b> (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 2022 Form M-1 annual report. If the plan was not required to file the 2022 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 \_\_\_\_\_

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4a – SCHEDULE OF DELINQUENT PARTICIPANT CONTRIBUTIONS

FOR THE YEAR ENDED DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| Participant Contributions<br>Transferred Late to Plan | Check here if<br>Late<br>Participant<br>Loan<br>Repayments<br>are included | Total that Constitutes Nonexempt Prohibited Transactions |                                            |                                                   |                                                              |
|-------------------------------------------------------|----------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------|---------------------------------------------------|--------------------------------------------------------------|
|                                                       |                                                                            | Contributions<br>Not corrected                           | Contributions<br>Corrected<br>Outside VFCP | Contributions<br>pending<br>Correction<br>In VFCP | Total Fully<br>Corrected<br>Under VFCP<br>And PTW 2002<br>51 |
| January 31, 2022                                      |                                                                            | \$ 2,873 *                                               | \$ --                                      | \$ --                                             | \$ --                                                        |
| February 11, 2022                                     |                                                                            | 8,679 *                                                  | --                                         | --                                                | --                                                           |
| April 22, 2022                                        |                                                                            | 10,232 *                                                 | --                                         | --                                                | --                                                           |
| August 29, 2022                                       |                                                                            | 982 *                                                    | --                                         | --                                                | --                                                           |
| September 9, 2022                                     |                                                                            | 3,629 *                                                  | --                                         | --                                                | --                                                           |
| October 20, 2022                                      |                                                                            | <u>5,379</u> *                                           | <u>--</u>                                  | <u>--</u>                                         | <u>--</u>                                                    |
| Total                                                 |                                                                            | <u>\$ 31,774</u>                                         | <u>\$ --</u>                               | <u>\$ --</u>                                      | <u>\$ --</u>                                                 |

\* Lost earnings were calculated and will be deposited into the plan during the year ended December 31, 2023

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| (a)                                        | (b) Identity of issue,<br>borrower, lessor, or similar party | (c) Description of investment including<br>maturity rate, rate of interest, collateral,<br>par or maturity value | (d) Cost | (e) Current<br>Value |
|--------------------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| <b>NONINTEREST-BEARING CASH</b>            |                                                              |                                                                                                                  |          |                      |
| *                                          | Cash - John Hancock                                          | Cash                                                                                                             | **       | \$ 12,151,053        |
| <b>CASH (INCLUDING MONEY MARKET FUNDS)</b> |                                                              |                                                                                                                  |          |                      |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 14,506               |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 9,930                |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 81,098               |
|                                            | Fidelity Inc                                                 | Government Cash Reserves Fund                                                                                    | **       | 112,769              |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 103,961              |
|                                            | UBS Bank                                                     | USA Deposit Account                                                                                              | **       | 12,017               |
|                                            | Fidelity Inc                                                 | Government Cash Reserves Fund                                                                                    | **       | 5                    |
|                                            |                                                              |                                                                                                                  |          | <u>334,286</u>       |
| <b>CORPORATE BONDS</b>                     |                                                              |                                                                                                                  |          |                      |
|                                            | Canadian Imperial Bank                                       | Canadian Imperial Bank .95% 6/23/23                                                                              | **       | 7,852                |
|                                            | Caterpillar Financial                                        | Caterpillar Finl Service 0.65% 07/07/23                                                                          | **       | 7,863                |
|                                            | Comcast                                                      | Comcast Corp NTS B/E 3.7% 4/15/24                                                                                | **       | 5,957                |
|                                            | Morgan Stanley                                               | Morgan Stanley B/E 3.875% 4/29/24                                                                                | **       | 5,948                |
|                                            | Morgan Stanley                                               | Morgan Stanley NTS B/E 3.7% 10/23/24                                                                             | **       | 1,967                |
|                                            | Walt Disney                                                  | Walt Disney Co 3.35% 3/24/25                                                                                     | **       | 3,912                |
|                                            | Oracle                                                       | Oracle Corp NTS B/E 2.5% 4/1/25                                                                                  | **       | 5,692                |
|                                            | Citigroup                                                    | Citigroup Inc B/E 3.3% 4/27/25                                                                                   | **       | 5,849                |
|                                            | Bank of America                                              | Bank of Amer Corp NTS 3.093% 10/1/25                                                                             | **       | 1,931                |
|                                            | Equinor                                                      | Equinor ASA NTS B/E 1.75% 1/22/26                                                                                | **       | 1,845                |
|                                            | JPMorgan Chase                                               | JPMorgan Chase & Co B/E 3.3% 4/1/26                                                                              | **       | 5,742                |
|                                            | Bank of Nova Scotia                                          | Bank of Nova Sco 1.35% 06/24/26                                                                                  | **       | 7,104                |
|                                            | Nvidia                                                       | Nvidia Corp NTS 3.2% 9/16/26                                                                                     | **       | 1,921                |
|                                            | Wells Fargo                                                  | Wells Fargo & Co B/E 3% 10/23/26                                                                                 | **       | 5,586                |
|                                            | Goldman Sachs                                                | Goldman Sachs Group Inc 3.85% 1/26/27                                                                            | **       | 1,937                |
|                                            | AT&T                                                         | AT&T Inc NTS B/E 2.3% 6/1/27                                                                                     | **       | 1,786                |
|                                            | Pacific Gas & Electric                                       | Pacific Gas & Elec NTS 2.1% 8/1/27                                                                               | **       | 6,906                |
|                                            | Comcast                                                      | Comcast Corp New 3.15% 2/15/28                                                                                   | **       | 1,872                |
|                                            | TransCanada                                                  | TransCanada Pipelines 4.25% 5/15/28                                                                              | **       | 5,724                |
|                                            | Abbvie                                                       | Abbvie Inc B/E 4.25% 11/14/28                                                                                    | **       | 5,830                |
|                                            | HCA                                                          | HCA Inc NTS B/E 4.125% 6/15/29                                                                                   | **       | 1,834                |
|                                            | AT&T                                                         | AT&T Inc NTS B/E 4.3% 2/15/30                                                                                    | **       | 5,765                |
|                                            | Goldman Sachs                                                | Goldman Sachs Group Inc 3.8% 3/15/30                                                                             | **       | 5,469                |
|                                            | NVIDIA                                                       | NVIDIA Corp B/E 2.85% 4/1/30                                                                                     | **       | 1,761                |
|                                            | Exelon                                                       | Exelon Corp NTS B/E 4.05% 4/15/30                                                                                | **       | 5,635                |
|                                            | JPMorgan Chase                                               | JP Morgan Chase 2.739% 10/15/30                                                                                  | **       | 1,693                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| (a)                                | (b) Identity of issue,<br>borrower, lessor, or similar party | (c) Description of investment including<br>maturity rate, rate of interest, collateral,<br>par or maturity value | (d) Cost | (e) Current<br>Value |
|------------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| <b>CORPORATE BONDS (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                    | Wells Fargo                                                  | Wells Fargo & Co B/E 0.0% 10/30/30                                                                               | **       | 1,715                |
|                                    | Walt Disney                                                  | Walt Disney Co 2.65% 1/13/31                                                                                     | **       | 3,471                |
|                                    | Home Depot                                                   | Home Depot Inc 1.875% 09/15/31                                                                                   | **       | 1,614                |
|                                    | Bank of America                                              | Bank of America B/E 2.299% 7/21/32                                                                               | **       | 1,566                |
|                                    | Apple                                                        | Apple Inc Call@MW 2.4% 5/3/23                                                                                    | **       | 41,823               |
|                                    | Berkshire Hathaway                                           | Berkshire Hathaway Energ Call 3.5% 2/1/25                                                                        | **       | 14,942               |
|                                    | Citigroup                                                    | Citigroup Inc B/E 4.4% 6/10/25                                                                                   | **       | 24,619               |
|                                    | McDonalds                                                    | McDonalds Corp B/E 3.7% 1/30/26                                                                                  | **       | 34,606               |
|                                    | American Intel                                               | American Intl Group B/E Call 3.9% 4/1/26                                                                         | **       | 19,588               |
|                                    | Microsoft                                                    | Microsoft Corp B/E 3.3% 2/6/27                                                                                   | **       | 39,118               |
|                                    | Verizon                                                      | Verizon Communications 4.125% 3/16/27                                                                            | **       | 14,809               |
|                                    | Boeing                                                       | Boeing Co B/E 3.25% 3/1/28                                                                                       | **       | 22,651               |
|                                    | Anthem                                                       | Anthem Inc NTS B/E 2.875% 9/15/29                                                                                | **       | 35,570               |
|                                    |                                                              |                                                                                                                  |          | <u>371,473</u>       |
| <b>COMMON STOCK</b>                |                                                              |                                                                                                                  |          |                      |
|                                    | Abbott                                                       | Abbott Labs                                                                                                      | **       | 10,759               |
|                                    | Abbvie                                                       | AbbVie Inc                                                                                                       | **       | 12,120               |
|                                    | Adobe                                                        | Adobe Inc (Delaware)                                                                                             | **       | 2,019                |
|                                    | Advanced Micro Technologies                                  | Advanced Micro Technologies                                                                                      | **       | 712                  |
|                                    | Akami Technologies                                           | Akami Technologies Inc                                                                                           | **       | 2,276                |
|                                    | Alcon                                                        | Alcon Inc CHF                                                                                                    | **       | 891                  |
|                                    | Alphabet                                                     | Alphabet Inc                                                                                                     | **       | 37,850               |
|                                    | Amazon                                                       | Amazon.com Inc                                                                                                   | **       | 29,652               |
|                                    | American Tower                                               | American Tower Corp REIT                                                                                         | **       | 11,228               |
|                                    | American Express                                             | American Express Co                                                                                              | **       | 5,023                |
|                                    | Ameriprise Financial                                         | Ameriprise Financial Inc                                                                                         | **       | 10,587               |
|                                    | Apple                                                        | Apple Inc                                                                                                        | **       | 32,742               |
|                                    | Applied Materials                                            | Applied Materials Inc                                                                                            | **       | 12,464               |
|                                    | APTIV                                                        | APTIV PLC                                                                                                        | **       | 1,304                |
|                                    | Ashtead                                                      | Ashtead Group PLC                                                                                                | **       | 1,357                |
|                                    | Astrazeneca                                                  | Astrazeneca PLC                                                                                                  | **       | 9,695                |
|                                    | AXA                                                          | AXA ADR                                                                                                          | **       | 2,090                |
|                                    | Becton Dickinson                                             | Becton Dickinson & Co                                                                                            | **       | 8,392                |
|                                    | Bio Rad                                                      | Bio Rad Laboratories Inc                                                                                         | **       | 1,261                |
|                                    | BostonScientific                                             | Boston Scientific Corp                                                                                           | **       | 14,668               |
|                                    | Broadcom                                                     | Broadcom Inc                                                                                                     | **       | 8,387                |
|                                    | Brunswick Corp.                                              | Brunswick Corp.                                                                                                  | **       | 649                  |
|                                    | Cadence Desgin                                               | Cadence Desgin System                                                                                            | **       | 1,124                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

| (a)                             | (b) Identity of issue,<br>borrower, lessor, or similar party | (c) Description of investment including<br>maturity rate, rate of interest, collateral,<br>par or maturity value | (d) Cost | (e) Current<br>Value |
|---------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| <b>COMMON STOCK (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                 | Cisco Systems                                                | Cisco Systems Inc                                                                                                | **       | 6,765                |
|                                 | Coca Cola                                                    | Coca Cola Co Comp                                                                                                | **       | 10,686               |
|                                 | Comcast                                                      | Comcast Corp                                                                                                     | **       | 4,721                |
|                                 | CME Group                                                    | CME Group Inc                                                                                                    | **       | 6,726                |
|                                 | Conocophillips                                               | Conocophillips                                                                                                   | **       | 8,614                |
|                                 | Costco                                                       | Costco Wholesale Corp                                                                                            | **       | 14,152               |
|                                 | Crown Castle                                                 | Crown Castle                                                                                                     | **       | 6,104                |
|                                 | CVS                                                          | CVS Health Group                                                                                                 | **       | 8,667                |
|                                 | Danaher                                                      | Danaher Corp                                                                                                     | **       | 10,085               |
|                                 | Danone                                                       | Danone Sponsored ADR                                                                                             | **       | 736                  |
|                                 | Dollar General                                               | Dollar Gen Corp                                                                                                  | **       | 7,633                |
|                                 | Ecolab                                                       | Ecolab Inc                                                                                                       | **       | 1,310                |
|                                 | Electronic Arts                                              | Electronic Arts                                                                                                  | **       | 1,222                |
|                                 | Emerson Electric                                             | Emerson Electric                                                                                                 | **       | 5,379                |
|                                 | Equinor                                                      | Equinor ASA Sponor ADR                                                                                           | **       | 2,722                |
|                                 | Exxon Mobil Corp                                             | Exxon Mobil Corp                                                                                                 | **       | 13,236               |
|                                 | Fidelity Inc                                                 | Fidelity National Information SVCS                                                                               | **       | 814                  |
|                                 | Genmab                                                       | Genmab A/S Sponsor ADR                                                                                           | **       | 1,144                |
|                                 | Goldman Sachs                                                | Goldman Sachs Group Inc                                                                                          | **       | 5,837                |
|                                 | Hess                                                         | Hess Corp                                                                                                        | **       | 2,553                |
|                                 | Home Depot                                                   | Home Depot Inc                                                                                                   | **       | 11,055               |
|                                 | Honeywell                                                    | Honeywell Intl Inc                                                                                               | **       | 9,429                |
|                                 | HSBC Holdings PLC                                            | HSBC Holdings PLC                                                                                                | **       | 717                  |
|                                 | Ingersoll                                                    | Ingersoll Rand Inc                                                                                               | **       | 1,881                |
|                                 | Intuitive Surgical Inc.                                      | Intuitive Surgical Inc.                                                                                          | **       | 11,941               |
|                                 | JP Morgan Chase                                              | JP Morgan Chase & Co                                                                                             | **       | 6,571                |
|                                 | Knorr Bremse                                                 | Knorr Bremse                                                                                                     | **       | 823                  |
|                                 | Koninklijke Philips                                          | Koninklijke Philips                                                                                              | **       | 645                  |
|                                 | Laboratroy                                                   | Laboratory Corp                                                                                                  | **       | 1,177                |
|                                 | Lauder Estee                                                 | Lauder Estee                                                                                                     | **       | 8,932                |
|                                 | Li Auto                                                      | Li Auto                                                                                                          | **       | 408                  |
|                                 | Lilly Eli                                                    | Lilly Eli & CO                                                                                                   | **       | 14,267               |
|                                 | Linde                                                        | Linde PLC                                                                                                        | **       | 11,742               |
|                                 | Lockheed Martin                                              | Lockheed Martin Corp                                                                                             | **       | 7,297                |
|                                 | London Stock Exchange Group                                  | London Stock Exchange Group                                                                                      | **       | 1,803                |
|                                 | Marsh & McLennan                                             | Marsh & McLennan                                                                                                 | **       | 1,655                |
|                                 | McDonalds                                                    | McDonalds Corp                                                                                                   | **       | 9,224                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

## SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT YEAR END)

DECEMBER 31, 2022

EIN: 01-0329291  
PLAN NUMBER 001

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| <b>COMMON STOCK (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                 | Mesto                                                        | Mesto Outotec Oyj                                                                                                | **       | 1,487                |
|                                 | Michelin                                                     | Michelin                                                                                                         | **       | 1,109                |
|                                 | Micron                                                       | Micron Technology Inc                                                                                            | **       | 800                  |
|                                 | Microsoft                                                    | Microsoft                                                                                                        | **       | 68,349               |
|                                 | Montrose Environmental                                       | Montrose Environmental                                                                                           | **       | 1,154                |
|                                 | Morgan Stanley                                               | Morgan Stanley                                                                                                   | **       | 5,866                |
|                                 | MSA Safety                                                   | MSA Safety                                                                                                       | **       | 1,154                |
|                                 | Netflix                                                      | Netflix Inc.                                                                                                     | **       | 1,180                |
|                                 | Nextera                                                      | Nextera Energy Inc                                                                                               | **       | 8,360                |
|                                 | Nike                                                         | Nike Corp                                                                                                        | **       | 10,180               |
|                                 | Nippon                                                       | Nippon Telegraph and Telephone                                                                                   | **       | 678                  |
|                                 | Norfolk                                                      | Norfolk Corp                                                                                                     | **       | 6,407                |
|                                 | Norsk Hydro                                                  | Norsk Hydro A.S. Ord Nok                                                                                         | **       | 1,101                |
|                                 | NXP                                                          | NXP Semiconductors                                                                                               | **       | 474                  |
|                                 | O'Reilly                                                     | O'Reilly Automotive Inc                                                                                          | **       | 10,128               |
|                                 | OKTA                                                         | OKTA Inc                                                                                                         | **       | 478                  |
|                                 | On Semiconductor                                             | On Semiconductor Corp                                                                                            | **       | 561                  |
|                                 | Palo Alto                                                    | Palo Alto Semiconductor Corp                                                                                     | **       | 7,675                |
|                                 | Parker Hannifin                                              | Parker Hannifin Inc                                                                                              | **       | 6,984                |
|                                 | Proctor & Gamble                                             | Proctor & Gamble Inc                                                                                             | **       | 20,158               |
|                                 | Prologis                                                     | Prologis Inc                                                                                                     | **       | 7,440                |
|                                 | Prysmian                                                     | Prysmian SPA Milano                                                                                              | **       | 1,110                |
|                                 | Mandiri                                                      | PT BK Mandiri Persero                                                                                            | **       | 1,119                |
|                                 | Raytheon                                                     | Raytheon Technologies Inc                                                                                        | **       | 8,578                |
|                                 | Regal Rexnord                                                | Regal Rexnord Corp                                                                                               | **       | 720                  |
|                                 | Rivian                                                       | Rivian Automotive Inc                                                                                            | **       | 184                  |
|                                 | Rockwell                                                     | Rockwell Automation                                                                                              | **       | 5,409                |
|                                 | S&P Global                                                   | S&P Global Inc                                                                                                   | **       | 7,369                |
|                                 | Sage Group                                                   | Sage Group PLC                                                                                                   | **       | 1,247                |
|                                 | SalesForce                                                   | SalesForce.com Inc                                                                                               | **       | 11,800               |
|                                 | Schlumberger                                                 | Schlumberger LTD                                                                                                 | **       | 9,141                |
|                                 | Sherwin Williams                                             | Sherwin Williams Co                                                                                              | **       | 11,629               |
|                                 | Shoals                                                       | Shoals technologies Group Inc                                                                                    | **       | 789                  |
|                                 | SLM Corp                                                     | SLM Corp                                                                                                         | **       | 847                  |
|                                 | Snowflake                                                    | Snowflake Inc                                                                                                    | **       | 431                  |
|                                 | Societe Generale                                             | Societe Generale Inc                                                                                             | **       | 1,002                |
|                                 | Softbank                                                     | Softbank Group                                                                                                   | **       | 1,269                |
|                                 | Sony                                                         | Sony Group Corp                                                                                                  | **       | 1,373                |
|                                 | Spectris                                                     | Spectris PLC                                                                                                     | **       | 1,118                |
|                                 | Splunk Inc                                                   | Splunk Inc                                                                                                       | **       | 689                  |
|                                 | Starbuck                                                     | Starbucks Corp                                                                                                   | **       | 1,488                |
|                                 | Sweetgreen                                                   | Sweetgreen Inc                                                                                                   | **       | 309                  |
|                                 | Sysco                                                        | Sysco Corp                                                                                                       | **       | 5,887                |

# MAINE EYE CENTER, P.A. PROFIT SHARING PLAN

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PLAN NUMBER 001

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| <b>COMMON STOCK (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                 | Target                                                       | Target Corp                                                                                                      | **       | 3,279                |
|                                 | Technopro Holdings                                           | Technopro Holdings LTD                                                                                           | **       | 853                  |
|                                 | Tencent Holdings                                             | Tencent Holdings LTD                                                                                             | **       | 678                  |
|                                 | Texas Instruments                                            | Texas Instruments                                                                                                | **       | 12,721               |
|                                 | Thermo Fisher                                                | Thermo Fisher Scientific Inc                                                                                     | **       | 10,463               |
|                                 | TJX                                                          | TJX COS Inc                                                                                                      | **       | 16,000               |
|                                 | Travelers                                                    | Travelers Cos Inc                                                                                                | **       | 7,312                |
|                                 | UBI Soft Entertainment                                       | UBI Soft Entertainment                                                                                           | **       | 705                  |
|                                 | Unilever                                                     | Unilever PLC                                                                                                     | **       | 1,561                |
|                                 | Union Pacific                                                | Union Pacific Corp                                                                                               | **       | 10,353               |
|                                 | UnitedHealth                                                 | UnitedHealth Group Inc                                                                                           | **       | 22,797               |
|                                 | United Parcel Services                                       | United Parcel Services Inc                                                                                       | **       | 6,432                |
|                                 | Universal Display                                            | Universal Display Corp                                                                                           | **       | 1,188                |
|                                 | Vertex                                                       | Vertex Pharmaceutical Inc                                                                                        | **       | 1,444                |
|                                 | Visa                                                         | Visa Inc                                                                                                         | **       | 24,723               |
|                                 | Vmware                                                       | Vmware Inc                                                                                                       | **       | 1,964                |
|                                 | Wells Fargo                                                  | Wells Fargo & Co                                                                                                 | **       | 7,391                |
|                                 | Walmart                                                      | Walmart Inc                                                                                                      | **       | 9,358                |
|                                 | Ishares                                                      | Ishares Semiconductors ETF                                                                                       | **       | 15,659               |
|                                 | Ishares                                                      | Ishares Global Clean Energy ETF                                                                                  | **       | 26,778               |
|                                 | Invesco                                                      | Invesco QQQ Trust ETF                                                                                            | **       | 33,285               |
|                                 | Ishares                                                      | Ishares S&P 500 Value                                                                                            | **       | 387,917              |
|                                 | Ishares                                                      | Ishares S&P 500 Growth                                                                                           | **       | 461,682              |
|                                 | Ishares                                                      | Ishares MSCI EAFE                                                                                                | **       | 109,750              |
|                                 | Ishares                                                      | Ishares MSCI Emerging Mkt                                                                                        | **       | 50,180               |
|                                 | SPDR                                                         | SPDR DJIA Trust                                                                                                  | **       | 339,613              |
|                                 | S&P Midcap                                                   | SPDR S&P Midcap 400                                                                                              | **       | 225,823              |
|                                 | Proshares                                                    | Proshares Ultra QQQ                                                                                              | **       | 476,263              |
|                                 | State Street                                                 | Energy Select Sector SPDR Fund ETF                                                                               | **       | 16,007               |
|                                 | State Street                                                 | Financial Select Sector SPDR Fund ETF                                                                            | **       | 11,149               |
|                                 | First Trust                                                  | First Trust NASDAQ Cybersecurity ETF                                                                             | **       | 21,329               |
|                                 | Ishares                                                      | Ishares S&P Mid-Cap 400 Value ETF                                                                                | **       | 40,824               |
|                                 | Ishares                                                      | Ishares S&P Small-Cap 600 Value ETF                                                                              | **       | 55,608               |
|                                 | Ishares                                                      | Ishares Global Energy ETF                                                                                        | **       | 15,440               |
|                                 | Vaneck                                                       | Vaneck Agribusiness ETF                                                                                          | **       | 35,624               |
|                                 | Vanguard                                                     | Vanguard Small Cap Growth ETF                                                                                    | **       | 36,498               |

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| <b>COMMON STOCK (CONTINUED)</b>        |                                                              |                                                                                                                  |          |                      |
| Vanguard                               |                                                              | Vanguard Mid-Cap ETF                                                                                             | **       | 42,392               |
| Vanguard                               |                                                              | Vanguard Mid-Cap Growth ETF                                                                                      | **       | 27,503               |
| Vanguard                               |                                                              | Vanguard Health Care ETF                                                                                         | **       | 38,200               |
| Vanguard                               |                                                              | Vanguard Industrials ETF                                                                                         | **       | 38,172               |
| Vanguard                               |                                                              | Vanguard FTSE Emerging Mkt ETF                                                                                   | **       | 45,763               |
| Vanguard                               |                                                              | Vanguard FTSE Developed Mkt ETF                                                                                  | **       | 44,908               |
| First Trust                            |                                                              | First Trust Value Line Divid Index                                                                               | **       | 154,731              |
| Invesco                                |                                                              | Invesco S&P 500 Equal Weight Financials                                                                          | **       | 115,471              |
| Ishares                                |                                                              | Ishares U.S. Consumer Staples ETF                                                                                | **       | 58,806               |
| Ishares                                |                                                              | Ishares MSCI USA Value Factor ETF                                                                                | **       | 98,431               |
| Vanguard                               |                                                              | Vanguard Total Stock Mkt                                                                                         | **       | 388,498              |
| Vanguard                               |                                                              | Vanguard FTSE Emerging Markets                                                                                   | **       | 192,387              |
| Ishares                                |                                                              | Ishares ESG Aware 1-5 year US ETF                                                                                | **       | 105,562              |
| Ishares                                |                                                              | Ishares Morningstar Large Cap Growth ETF                                                                         | **       | 611,421              |
|                                        |                                                              |                                                                                                                  |          | <u>5,134,139</u>     |
| <b>REGISTERED INVESTMENT COMPANIES</b> |                                                              |                                                                                                                  |          |                      |
| Calvert Green                          |                                                              | Calvert Green Bond Fund                                                                                          | **       | 40,637               |
| Calvert                                |                                                              | Calvert Fd Income Fd                                                                                             | **       | 40,414               |
| Fidelity Inc                           |                                                              | Guggenheim Total Return Bond Fund                                                                                | **       | 32,137               |
| Guggenheim Ltd.                        |                                                              | Guggenheim Limited Duration Fund Class I                                                                         | **       | 24,916               |
| Janus Henderson                        |                                                              | Developed World Bond Fund I                                                                                      | **       | 31,819               |
| Lord Abbett                            |                                                              | Lord Abbett Floating Rate Fund                                                                                   | **       | 41,822               |
| Lord Abbett                            |                                                              | Lord Abbett Short Duration Income Fund                                                                           | **       | 33,139               |
| Nuveen                                 |                                                              | Nuveen Preferred Securities and Income Fund                                                                      | **       | 32,759               |
| TIAA-CREF                              |                                                              | TIAA-CREF Core Impact Bond Fund                                                                                  | **       | 40,202               |
| Ishares                                |                                                              | Ishares Floating Rate Bond ETF                                                                                   | **       | 50,330               |
| Vangaurd                               |                                                              | Vanguard Short-Term Inflation Protected SEC In                                                                   | **       | 46,710               |
| AllianceBernstein                      |                                                              | AB High Income Fund                                                                                              | **       | 27,471               |
| Blackrock                              |                                                              | Blackrock Strategic Global Bond Fund                                                                             | **       | 19,079               |
| Carillon Reams                         |                                                              | Carillon Reams Core Plus Bond Fund                                                                               | **       | 19,425               |
| Columbia                               |                                                              | Columbia Mortgage Opportunites Fund                                                                              | **       | 32,995               |
| Guggenheim                             |                                                              | Guggenheim Total Return Bond Fund                                                                                | **       | 34,606               |
| US Govt                                |                                                              | SIT US Gov't Secs                                                                                                | **       | 39                   |
| Jensen                                 |                                                              | Jensen Quality Growth Fund                                                                                       | **       | 722,692              |
| Fidelity Inc                           |                                                              | Fidelity Total Mkt Index                                                                                         | **       | 813,193              |
| Fidelity Inc                           |                                                              | Fidelity Contrafund                                                                                              | **       | 168,488              |

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| <b>REGISTERED INVESTMENT COMPANIES (CONTINUED)</b> |                                                              |                                                                                                                  |          |                      |
|                                                    | Fidelity Inc                                                 | Fidelity Equity Income                                                                                           | **       | 215,256              |
|                                                    | Fidelity Inc                                                 | Fidelity Mid Cap Index Fund                                                                                      | **       | 82,578               |
|                                                    | Fidelity Inc                                                 | Fidelity Low Priced Stock                                                                                        | **       | 158,665              |
|                                                    | Fidelity Inc                                                 | Fidelity Blue Chip Growth                                                                                        | **       | 136,972              |
|                                                    | John Hancock                                                 | John Hancock disciplined Value Mid Cap Fund                                                                      | **       | 28,228               |
|                                                    | Neuberger                                                    | Neuberger Berman Large Cap Value Fund                                                                            | **       | 80,972               |
|                                                    | Smead                                                        | Smead Value Fund Class Institutional                                                                             | **       | 116,867              |
|                                                    | Vanguard                                                     | Vanguard International Growth Fund Admiral                                                                       | **       | 39,863               |
|                                                    | Eaton Vance Inc                                              | Eaton Vance Short Duration Government Inc                                                                        | **       | 17,773               |
|                                                    | Eaton Vance Inc                                              | Eaton Vance Floating Rate Advantage                                                                              | **       | 134,395              |
|                                                    | Eaton Vance Inc                                              | Eaton Vance Emerging Markets DBT Opps fund                                                                       | **       | 79,532               |
|                                                    | Guggenheim                                                   | Guggenheim Total Return Bond Fund                                                                                | **       | 33,555               |
|                                                    | Invesco                                                      | Invesco Corporate Bond Fund                                                                                      | **       | 36,894               |
|                                                    | Janus Henderson                                              | Janus Enderson Developed World Bond Fund                                                                         | **       | 36,949               |
|                                                    | Loomis                                                       | Loomis Sayles Investment Grade Bond Fund                                                                         | **       | 60,124               |
|                                                    | Lord Abbett                                                  | Lord Abbett Floating Rate Fund                                                                                   | **       | 23,059               |
|                                                    | Lord Abbett                                                  | Lord Abbett Short Duration Income Fund                                                                           | **       | 1,319                |
|                                                    | Nuveen                                                       | Nuveen Preferred Securities and Income Fund                                                                      | **       | 45,258               |
|                                                    | Pimco                                                        | Pimco Investment Grade Credit Bond Fund                                                                          | **       | 3,090                |
|                                                    | Pimco                                                        | Pimco Mortgage Opportunities & Bond Fund                                                                         | **       | 46,354               |
|                                                    | Baron                                                        | Baron Emerging Markets Fund Instl Class                                                                          | **       | 88,156               |
|                                                    | Delware IVY                                                  | Delaware IVY Mid Cap Income Opportunities I                                                                      | **       | 104,270              |
|                                                    | Eventide                                                     | Eventide Gilead Fund                                                                                             | **       | 179,154              |
|                                                    | Eventide                                                     | Eventide Healthcare Life Sciences                                                                                | **       | 158,434              |
|                                                    | First Trust                                                  | First Trust Enhanced Short Mat Fund                                                                              | **       | 147,114              |
|                                                    | Amer Funds                                                   | Amer Funds American Balanced Fund                                                                                | **       | 209,862              |
|                                                    |                                                              |                                                                                                                  |          | <u>4,517,566</u>     |
| <b>GOVERNMENT SECURITIES</b>                       |                                                              |                                                                                                                  |          |                      |
|                                                    | US Treasury Note                                             | US Treasury Note Rate 3.25% 8/31/24                                                                              | n/a      | <u>99,052</u>        |
| <b>NOTES RECEIVABLE FROM PARTICIPANTS</b>          |                                                              |                                                                                                                  |          |                      |
| *                                                  | Notes Receivable from Participants                           | Interest rates ranging from 5.25% to 7.50%,<br>due at various dates through 2026                                 | -0-      | <u>86,112</u>        |
|                                                    |                                                              |                                                                                                                  |          | <u>\$ 22,693,681</u> |

\* Party-in-interest

\*\* Investments are participant directed; cost information is not applicable.