

UCC FINANCING STATEMENT
FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT SUBMITTER (optional) Charlotte Graham 317-428-5158	
B. E-MAIL CONTACT AT SUBMITTER (optional)	
C. SEND ACKNOWLEDGMENT TO: (Name and Address) Oak Street Funding LLC 8888 Keystone Crossing Suite 1700 Indianapolis, IN 46240 3 pgs SEE BELOW FOR SECURED PARTY CONTACT INFORMATION	

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OREGON SECRETARY OF STATE



UCC LIEN NO. 94097837 NW WEALTH PLANNING.

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S NAME: Provide only one Debtor name (1a or 1b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 1b, leave all of item 1 blank, check here and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

1a. ORGANIZATION'S NAME NW Wealth Planning, LLC					
OR	1b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
1c. MAILING ADDRESS 500 Liberty Street SE, Suite 310		CITY Salem	STATE OR	POSTAL CODE 97301	COUNTRY

2. DEBTOR'S NAME: Provide only one Debtor name (2a or 2b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 2b, leave all of item 2 blank, check here and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

2a. ORGANIZATION'S NAME					
OR	2b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
2c. MAILING ADDRESS		CITY	STATE	POSTAL CODE	COUNTRY

3. SECURED PARTY'S NAME (or NAME of ASSIGNEE of ASSIGNOR SECURED PARTY): Provide only one Secured Party name (3a or 3b)

3a. ORGANIZATION'S NAME Oak Street Funding LLC					
OR	3b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
3c. MAILING ADDRESS 8888 Keystone Crossing, Suite 1700		CITY Indianapolis	STATE IN	POSTAL CODE 46240	COUNTRY US

4. COLLATERAL: This financing statement covers the following collateral:

All assets of the Debtor, now owned or hereafter acquired, together with all proceeds and products thereof, wherever located, including, without limitation, such assets described in Exhibit A attached hereto and made a part hereof.

5. Check only if applicable and check only one box: Collateral is held in a Trust (see UCC1Ad, item 17 and Instructions) being administered by a Decedent's Personal Representative

6a. Check only if applicable and check only one box: Public-Finance Transaction Manufactured-Home Transaction A Debtor is a Transmitting Utility Agricultural Lien Non-UCC Filing

7. ALTERNATIVE DESIGNATION (if applicable): Lessee/Lessor Consignee/Consignor Seller/Buyer Bailee/Bailor Licensee/Licensor

8. OPTIONAL FILER REFERENCE DATA:
OR - Secretary of State - NW Wealth 22354

F#1059303
A#1450534

EXHIBIT A

COLLATERAL DESCRIPTION:

A security interest in all of its right, title and interest in, to and under the following properties, assets and rights of the Debtor, wherever located, whether the Debtor now has or hereafter acquires ownership or other rights therein (all of the same being hereinafter collectively called the "Collateral") (all capitalized terms not defined herein shall have the same meaning as set forth in the Master Credit Agreement or Security Agreement):

- (i) all revenue associated with any Client Accounts, Client Agreements or Custodial Agreements, including, without limitation, any revenue, fee and commissions and other amounts paid or payable to the Debtor with respect to any Client Accounts, Client Agreements or Custodial Agreements, together with any and all fees, bonuses, and other income, including, without limitation, any such amounts due on or after the date hereof and all amounts due before the date hereof but received on or after the date hereof relating to such Client Accounts, Client Agreements or Custodial Agreements;
- (ii) the CCA and any Deposit account at any financial institution into which Collateral is deposited, together with all funds and claims to funds represented by such account; and
- (iii) all business personal property of the Debtor of every kind and nature in which the Debtor now has or hereafter acquires ownership or other rights, including without limitation all Goods (including all Inventory, Equipment and any accessions thereto), Accounts, Instruments (including Promissory notes), Documents (including any warehouse receipts), Chattel paper (whether tangible or Electronic chattel paper), Deposit accounts, all money, cash and cash equivalents, Letter-of-credit rights (whether or not the Letter of credit is evidenced by a writing), all Fixtures, securities and all other Investment property (including all Commodity accounts and Commodity contracts), Supporting obligations, contracts (including any customer or custodial agreements and related contracts or agreements), any other contract rights or rights to the payment of money, insurance claims and Proceeds, Commercial tort claims, and all General intangibles including, without limitation, all Payment intangibles, patents, patent applications, trademarks, service marks, trademark and service mark applications, trademark and service mark registrations, trade names, copyrights, copyright applications, copyright registrations, software, websites, domain names, customer lists, goodwill, and all licenses, permits, agreements of any kind or nature pursuant to which the Debtor possesses, uses or has authority to possess or use property (whether tangible or intangible) of others or others possess, use or have authority to possess or use property (whether tangible or intangible) of the Debtor, and all recorded data of any kind or nature related to any of the foregoing, regardless of the medium of recording including, without limitation, all data and software holding any records related to any of the foregoing; and
- (iv) all Proceeds and other rights to payment not otherwise included with respect to any of the foregoing and products of the foregoing and all accessions to, substitutions and replacements for, and rents and profits of, each of the foregoing.

When used herein the terms "Account", "Account debtor", "Chattel paper", "Commercial tort claim", "Commodity account", "Commodity contract", "Deposit account", "Document", "Electronic chattel paper", "Equipment", "Fixtures", "Goods", "Instrument", "Inventory", "Investment property", "Letter-of-credit rights", "Payment intangibles", "Proceeds", "Promissory notes", and "Supporting obligations" have the meaning provided in Article 8 or Article 9, as applicable, of Indiana's Uniform Commercial Code.

ADDITIONAL DEFINED TERMS:

As used herein, the following capitalized terms will have the following meanings: "Client" means any Person who enters into a Client Agreement with the Debtor or otherwise retains the services of the Debtor.

"Client Accounts" means Client Agreements which are in effect and are current with respect to generating commission or fee based income.

“Client Agreements” means any contract, agreement or other written record, now existing or hereafter arising, as any of such contracts, agreements or records may be amended, modified or replaced from time to time, between the Debtor and any Client relating to the Debtor’s provision of investment advisory services to such Client.

“Custodial Agreements” means any contract, agreement or other written record, now existing or hereafter arising, as any of such contracts, agreements or records may be amended, modified or replaced from time to time, between the Debtor and any Custodian which manages Client Accounts.

“Custodial Codes” means those codes assigned by an applicable Custodian which track or identify any Client Accounts.

“Custodian” means the clearinghouse(s) used by the Debtor to provide a full spectrum of products and resources to the Debtor’s clients.

“Governmental Authority” means the government of the United States, any other nation or any political subdivision thereof, whether state or local, and any agency, authority, instrumentality, regulatory body, court, central bank or other entity exercising executive, legislative, judicial, taxing, regulatory or administrative powers or functions of or pertaining to government.

“Person” means an individual, partnership, corporation, limited liability company, limited liability partnership, joint stock company, land trust, business trust, or unincorporated organization, or a Governmental Authority.