

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
1919 Funds	1919 Financial Services Fund Class A	00777X850	SBFAX	5.75		.25	1.36000		SELL ONLY
1919 Funds	1919 Financial Services Fund Class C	00777X843	SFSLX		1.00	1.00	2.08000		SELL ONLY
1919 Funds	1919 Financial Services Fund Class I	00777X819	LMRIX				1.10000		SELL ONLY
1919 Funds	1919 Socially Responsive Balanced Fund Class A	00777X769	SSIAX	5.75		.25	0.98000		BUY,SELL
1919 Funds	1919 Socially Responsive Balanced Fund Class C	00777X751	SESLX		1.00	1.00	1.71000		SELL ONLY
1919 Funds	1919 Socially Responsive Balanced Fund Class I	00777X744	LMRNX				0.73000		SELL ONLY
Aberdeen	abrdn China A Share Equity Fund Class A	003019106	GOPAX	5.75		.25	2.50000		SELL ONLY
Aberdeen	abrdn China A Share Equity Fund Class C	003019304	GOPCX		1.00	1.00	3.18000		SELL ONLY
Aberdeen	abrdn China A Share Equity Fund Institutional Class	003019502	GOPIX				2.16000		SELL ONLY
Aberdeen	abrdn Dynamic Dividend Fund Class A	003022423	ADAVX	5.75			1.69000		SELL ONLY
Aberdeen	abrdn Dynamic Dividend Fund Institutional Class	003022431	ADVDX				1.43000		SELL ONLY
Aberdeen	abrdn Emerging Markets ex-China Fund Class A	003020310	GLLAX	5.75		.25	1.72000		SELL ONLY
Aberdeen	abrdn Emerging Markets ex-China Fund Class C	003020286	GLLCX		1.00	1.00	2.47000		SELL ONLY
Aberdeen	abrdn Emerging Markets ex-China Fund Institutional Class	003020260	GWLIX				1.45000		SELL ONLY
Aberdeen	abrdn Emerging Markets ex-China Fund Institutional Service Class	003020252	GLLSX				1.42000		SELL ONLY
Aberdeen	abrdn Emerging Markets Fund Class A	003021250	GEGAX	5.75		.25	1.43000		SELL ONLY
Aberdeen	abrdn Emerging Markets Fund Class C	003021243	GEGCX		1.00	1.00	2.24000		SELL ONLY
Aberdeen	abrdn Emerging Markets Fund Institutional Class	003021714	ABEMX				1.22000		SELL ONLY
Aberdeen	abrdn Emerging Markets Fund Institutional Service Class	003021656	AEMSX				1.28000		SELL ONLY
Aberdeen	abrdn Focused Emerging Markets ex-China Fund Class A	04315J845	JETAX	5.75		.25	1.94000		SELL ONLY
Aberdeen	abrdn Focused Emerging Markets ex-China Fund Institutional Class	04315J837	JETIX				1.66000		SELL ONLY

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Aberdeen	abrdn Global Infrastructure Fund Class A	003022399	AIAFX	5.75		.25	1.59000		SELL ONLY
Aberdeen	abrdn Global Infrastructure Fund Institutional Class	003022415	AIFRX				1.33000		SELL ONLY
Aberdeen	abrdn High Income Opportunities Fund A	04315J878	BJBHX	3.00		.25	1.31000		SELL ONLY
Aberdeen	abrdn High Income Opportunities Fund I	04315J860	JHYIX				0.99000		SELL ONLY
Aberdeen	abrdn Infrastructure Debt Fund Class A	003021755	CUGAX	3.00		.25	1.77000		SELL ONLY
Aberdeen	abrdn Infrastructure Debt Fund Institutional Class	003021730	AGCIX				1.53000		SELL ONLY
Aberdeen	abrdn Infrastructure Debt Fund Institutional Service Class	003021722	CGFIX				1.52000		SELL ONLY
Aberdeen	abrdn Intermediate Municipal Income Fund Class A	003020161	NTFAX	2.50		.25	1.20000		SELL ONLY
Aberdeen	abrdn Intermediate Municipal Income Fund Institutional Class	003022209	ABEIX				0.95000		SELL ONLY
Aberdeen	abrdn Intermediate Municipal Income Fund Institutional Services Class	003022308	ABESX				0.91000		SELL ONLY
Aberdeen	abrdn International Small Cap Fund Class A	003021821	WVCCX	5.75		.25	1.55000		SELL ONLY
Aberdeen	abrdn International Small Cap Fund Class C	003021797	CPVCX		1.00	1.00	2.32000		SELL ONLY
Aberdeen	abrdn International Small Cap Fund Institutional Class	003021789	ABNIX				1.28000		SELL ONLY
Aberdeen	abrdn Real Estate Fund Class A	003022357	AIAGX	5.75		.25	1.67000		SELL ONLY
Aberdeen	abrdn Real Estate Fund Institutional Class	003022365	AIGYX				1.40000		SELL ONLY
Aberdeen	abrdn Short Duration High Yield Municipal Fund Class A	003022332	AAHMX	2.50		.25	1.20000		SELL ONLY
Aberdeen	abrdn Short Duration High Yield Municipal Fund Class C	003022282	ACHMX		1.00	1.00	1.91000		SELL ONLY
Aberdeen	abrdn Short Duration High Yield Municipal Fund Institutional Class	003022340	AHYMX				0.94000		SELL ONLY
Aberdeen	abrdn U.S. Small Cap Equity Fund Class A	003020716	GSXAX	5.75		.25	1.48000		SELL ONLY

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Aberdeen	abrdn U.S. Small Cap Equity Fund Class C	003020682	GSXCX		1.00	1.00	2.19000		SELL ONLY
Aberdeen	abrdn U.S. Small Cap Equity Fund Institutional Class	003020666	GSCIX				1.14000		SELL ONLY
Aberdeen	abrdn U.S. Small Cap Equity Fund Institutional Service Class	003020658	GSXIX				1.18000		SELL ONLY
Aberdeen	abrdn U.S. Sustainable Leaders Fund Class A	003021425	GXXAX	5.75		.25	1.22000		SELL ONLY
Aberdeen	abrdn U.S. Sustainable Leaders Fund Institutional Class	003021383	GGLIX				0.99000		SELL ONLY
Aberdeen	abrdn U.S. Sustainable Leaders Fund Institutional Service Class	003021375	GXXIX				0.99000		SELL ONLY
Aberdeen	abrdn Ultra Short Municipal Income Fund Class A	003022316	ATOAX			.25	0.92000		SELL ONLY
Aberdeen	abrdn Ultra Short Municipal Income Fund Institutional Class	003022324	ATOIX				0.66000		SELL ONLY
Acadian Funds	Acadian Emerging Markets Portfolio Class I	00769G188	AEMZX				1.16000	2.00	SELL ONLY
Acadian Funds	Acadian Emerging Markets Portfolio Class Investor	00758M162	AEMGX				1.39000	2.00	SELL ONLY
Acadian Funds	Acadian Emerging Markets Portfolio Class Y	00769G196	AEMVX				1.26000	2.00	SELL ONLY
Akre	Akre Focus Fund Institutional Class	742935125	AKRIX				1.06000	1.00	SELL ONLY
Akre	Akre Focus Fund Retail Class	742935117	AKREX			.25	1.33000	1.00	SELL ONLY
Alger	Alger 35 Fund Class Z	015565187	ATVPX				0.88000		SELL ONLY
Alger	Alger AI Enablers & Adopters Fund Class A	01556Q884	AIFAX	5.25		.25	8.04000		SELL ONLY
Alger	Alger AI Enablers & Adopters Fund Class C	01556Q876	AAICX		1.00	1.00	8.80000		SELL ONLY
Alger	Alger AI Enablers & Adopters Fund Class I	01556Q835	AIFIX			.25	8.06000		SELL ONLY
Alger	Alger AI Enablers & Adopters Fund Class Y	01556Q827	AAIYX				0.94000		SELL ONLY
Alger	Alger AI Enablers & Adopters Fund Class Z	01556Q819	AAIZX				0.94000		SELL ONLY
Alger	Alger Capital Appreciation Fund Class A	015565849	ACAAX	5.25		.25	1.26000		SELL ONLY

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Alger	Alger Capital Appreciation Fund Class C	015565781	ALCCX		1.00	1.00	1.97000		SELL ONLY
Alger	Alger Capital Appreciation Fund Class Z	015565419	ACAZX				0.95000		SELL ONLY
Alger	Alger Capital Appreciation Institutional Fund Class I	015570401	ALARX				1.24000		SELL ONLY
Alger	Alger Capital Appreciation Institutional Fund Class R	015570872	ACARX			.50	1.69000		SELL ONLY
Alger	Alger Capital Appreciation Institutional Fund Class Y	015570732	ACAYX				0.93000		SELL ONLY
Alger	Alger Capital Appreciation Institutional Fund Class Z-2	015570757	ACIZX				0.94000		SELL ONLY
Alger	Alger Concentrated Equity Fund Class A	01556Q702	CNEAX	5.25		.25	6.91000		SELL ONLY
Alger	Alger Concentrated Equity Fund Class C	01556Q801	CNECX		1.00	1.00	7.66000		SELL ONLY
Alger	Alger Concentrated Equity Fund Class I	01556Q868	CNEIX			.25	6.92000		SELL ONLY
Alger	Alger Concentrated Equity Fund Class Y	01556Q850	CNEYX				0.94000		SELL ONLY
Alger	Alger Concentrated Equity Fund Class Z	01556Q843	CNEZX				0.94000		SELL ONLY
Alger	Alger Dynamic Opportunities Fund Class A	015566813	SPEDX	5.25		.25	2.07000		SELL ONLY
Alger	Alger Dynamic Opportunities Fund Class C	015566748	ADOCX		1.00	1.00	2.83000		SELL ONLY
Alger	Alger Dynamic Opportunities Fund Class Z	015566755	ADOZX				1.75000		SELL ONLY
Alger	Alger Emerging Markets Fund Class A	015566797	AAEMX	5.25		.25	2.35000		SELL ONLY
Alger	Alger Emerging Markets Fund Class C	015566789	ACEMX		1.00	1.00	2.98000		SELL ONLY
Alger	Alger Emerging Markets Fund Class I	015566771	AIEMX			.25	2.18000		SELL ONLY
Alger	Alger Emerging Markets Fund Class Z	015566730	AZEMX				1.97000		SELL ONLY
Alger	Alger Focus Equity Fund Class A	015570799	ALAFX	5.25		.25	0.95000		BUY,SELL
Alger	Alger Focus Equity Fund Class C	015570781	ALCFX		1.00	1.00	1.72000		SELL ONLY
Alger	Alger Focus Equity Fund Class I	015570302	ALGRX				0.94000		SELL ONLY
Alger	Alger Focus Equity Fund Class Y	015570724	ALGYX				0.63000		SELL ONLY
Alger	Alger Focus Equity Fund Class Z	015570773	ALZFX				0.64000		SELL ONLY

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Alger	Alger Global Equity Fund Class A	015549108	CHUSX	5.25		.25	2.30000		SELL ONLY
Alger	Alger Global Equity Fund Class C	015549207	CHUCX		1.00	1.00	3.19000		SELL ONLY
Alger	Alger Global Equity Fund Class I	015549306	AFGIX			.25	2.32000		SELL ONLY
Alger	Alger Global Equity Fund Class Z	015549405	AFGZX				1.97000		SELL ONLY
Alger	Alger Growth & Income Fund Class A	015565831	ALBAX	5.25		.25	0.95000		SELL ONLY
Alger	Alger Growth & Income Fund Class C	015565773	ALBCX		1.00	1.00	1.70000		SELL ONLY
Alger	Alger Growth & Income Fund Class Z	015565351	AGIZX				0.64000		SELL ONLY
Alger	Alger Health Sciences Fund Class A	015565765	AHSAX	5.25		.25	1.18000		SELL ONLY
Alger	Alger Health Sciences Fund Class C	015565740	AHSCX		1.00	1.00	1.90000		SELL ONLY
Alger	Alger Health Sciences Fund Class Z	015565328	AHSZX				0.89000		SELL ONLY
Alger	Alger International Opportunities Fund Class A	015565856	ALGAX	5.25		.25	1.30000		SELL ONLY
Alger	Alger International Opportunities Fund Class B	015565609	AFGPX		5.00	1.00	2.00000		SELL ONLY
Alger	Alger International Opportunities Fund Class C	015565799	ALGCX		1.00	1.00	1.92000		SELL ONLY
Alger	Alger International Opportunities Fund Class I	015565344	AIGIX			.25	1.33000		SELL ONLY
Alger	Alger International Opportunities Fund Class Z	015565393	ALCZX				1.00000		SELL ONLY
Alger	Alger Mid Cap Focus Fund Class A	015565120	ALOAX	5.25		.25	1.19000		SELL ONLY
Alger	Alger Mid Cap Focus Fund Class C	015565112	ALOCX		1.00	1.00	1.97000		SELL ONLY
Alger	Alger Mid Cap Focus Fund Class I	015565179	AFOIX			.25	1.11000		SELL ONLY
Alger	Alger Mid Cap Focus Fund Class Y	015565138	ALOYX				0.84000		SELL ONLY
Alger	Alger Mid Cap Focus Fund Class Z	015565161	AFOZX				0.83000		SELL ONLY
Alger	Alger Mid Cap Growth Fund Class A	015565864	AMGAX	5.25		.25	1.27000		SELL ONLY
Alger	Alger Mid Cap Growth Fund Class B	015565807	AMCGX		5.00	1.00	1.99000		SELL ONLY
Alger	Alger Mid Cap Growth Fund Class C	015565815	AMGCX		1.00	1.00	2.01000		SELL ONLY
Alger	Alger Mid Cap Growth Fund Class Z	015565336	AMCZX				0.98000		SELL ONLY
Alger	Alger Mid Cap Growth Institutional Fund Class I	015570203	ALMRX				1.39000		SELL ONLY
Alger	Alger Mid Cap Growth Institutional Fund Class R	015570807	AGIRX			.50	1.85000		SELL ONLY

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Alger	Alger MidCap Growth Institutional Fund Class Z-2	015570740	ALMZX				1.06000		SELL ONLY
Alger	Alger Responsible Investing Fund Class A	015566409	SPEGX	5.25		.25	1.31000		SELL ONLY
Alger	Alger Responsible Investing Fund Class C	015566508	AGFCX		1.00	1.00	2.03000		SELL ONLY
Alger	Alger Responsible Investing Fund Class I	015566607	AGIFX			.25	1.32000		SELL ONLY
Alger	Alger Responsible Investing Fund Class Z	015566698	ALGZX				0.99000		SELL ONLY
Alger	Alger Small Cap Focus Fund Class A	015565450	AOFAX	5.25		.25	1.22000		BUY,SELL
Alger	Alger Small Cap Focus Fund Class C	015565443	AOFCX		1.00	1.00	1.94000		SELL ONLY
Alger	Alger Small Cap Focus Fund Class I	015565435	AOFIX			.25	1.15000		SELL ONLY
Alger	Alger Small Cap Focus Fund Class Y	015565229	AOFYX				0.90000		SELL ONLY
Alger	Alger Small Cap Focus Fund Class Z	015565369	AGOZX				0.88000		SELL ONLY
Alger	Alger Small Cap Growth Fund Class A	015565872	ALSAX	5.25		.25	1.34000		SELL ONLY
Alger	Alger Small Cap Growth Fund Class B	015565500	ALSCX		5.00	1.00	2.04000		SELL ONLY
Alger	Alger Small Cap Growth Fund Class C	015565823	AGSCX		1.00	1.00	2.13000		SELL ONLY
Alger	Alger Small Cap Growth Fund Class Y	01556Q108	ASCYX				1.02000		SELL ONLY
Alger	Alger Small Cap Growth Fund Class Z	015565377	ASCZX				0.99000		SELL ONLY
Alger	Alger Small Cap Growth Institutional Fund Class I	015570104	ALSRX				1.41000		SELL ONLY
Alger	Alger Small Cap Growth Institutional Fund Class R	015570708	ASIRX			.50	1.88000		SELL ONLY
Alger	Alger SmallCap Growth Institutional Fund Class Z-2	015570765	AISZX				1.11000		SELL ONLY
Alger	Alger Spectra Fund Class A	015566102	SPECX	5.25		.25	1.52000		BUY,SELL
Alger	Alger Spectra Fund Class C	015566201	ASPCX		1.00	1.00	2.25000		SELL ONLY
Alger	Alger Spectra Fund Class I	015566300	ASPIX			.25	1.50000		SELL ONLY
Alger	Alger Spectra Fund Class Y	015566623	ASPYX				1.20000		SELL ONLY
Alger	Alger Spectra Fund Class Z	015566763	ASPZX				1.22000		SELL ONLY
Alger	Alger Weatherbie Specialized Growth Fund Class A	015565732	ALMAX	5.25		.25	1.26000		BUY,SELL
Alger	Alger Weatherbie Specialized Growth Fund Class I	015565468	ASIMX			.25	1.28000		SELL ONLY
Alger	Alger Weatherbie Specialized Growth Fund Class Y	015565211	ASYMX				0.96000		SELL ONLY

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Alger	Alger Weatherbie Specialized Growth Fund Class Z	015565385	ASMZX				0.96000		SELL ONLY
Alger	Alger Weatherbie Specialized Growth FundClass C	015565716	ALMCX		1.00	1.00	2.03000		SELL ONLY
AllianceBernstein	AB All China Equity Portfolio Advisor Class	002542207	ACEYX				1.60000		SELL ONLY
AllianceBernstein	AB All China Equity Portfolio Class A	002542108	ACEAX	4.25		.25	1.86000		SELL ONLY
AllianceBernstein	AB All Market Real Return Portfolio Advisor Class	018528422	AMTYX				1.01000		SELL ONLY
AllianceBernstein	AB All Market Real Return Portfolio Class A	018528430	AMTAX	4.25		.25	1.25000		SELL ONLY
AllianceBernstein	AB All Market Real Return Portfolio Class C	018528414	ACMTX		1.00	1.00	2.03000		SELL ONLY
AllianceBernstein	AB All Market Real Return Portfolio Class Z	018528125	AMTZX				0.92000		SELL ONLY
AllianceBernstein	AB All Market Total Return Portfolio Advisor Class	01877F625	ABWYX				0.85000		SELL ONLY
AllianceBernstein	AB All Market Total Return Portfolio Class A	01877F658	ABWAX	4.25		.25	1.10000		BUY,SELL
AllianceBernstein	AB All Market Total Return Portfolio Class C	01877F633	ABWCX		1.00	1.00	1.87000		SELL ONLY
AllianceBernstein	AB Bond Inflation Strategy Advisor Class	018528562	ABNYX				0.83000		SELL ONLY
AllianceBernstein	AB Bond Inflation Strategy Class A	018528570	ABNAX	2.25		.25	1.08000		SELL ONLY
AllianceBernstein	AB Bond Inflation Strategy Class C	018528554	ABNCX		1.00	1.00	1.83000		SELL ONLY
AllianceBernstein	AB Bond Inflation Strategy Fund Class Z	01881M475	ABNZX				0.73000		SELL ONLY
AllianceBernstein	AB Concentrated Growth Fund Advisor Class	01878T848	WPSGX				0.75000		SELL ONLY
AllianceBernstein	AB Concentrated Growth Fund Class A	01878T707	WPASX	4.25		.25	1.00000		SELL ONLY
AllianceBernstein	AB Concentrated Growth Fund Class C	01878T806	WPCSX		1.00	1.00	1.75000		SELL ONLY
AllianceBernstein	AB Concentrated Growth Fund Class Z	01878T855	WPSZX				0.72000		SELL ONLY
AllianceBernstein	AB Concentrated International Growth Portfolio Advisor Class	01878T475	CIGYX				0.94000		SELL ONLY

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AllianceBernstein	AB Concentrated International Growth Portfolio Class A	01878T491	CIAGX	4.25		.25	1.20000		SELL ONLY
AllianceBernstein	AB Concentrated International Growth Portfolio Class C	01878T483	CICGX		1.00	1.00	1.96000		SELL ONLY
AllianceBernstein	AB Core Opportunities Fund Advisor Class	01879K705	ADGYX				0.92000		SELL ONLY
AllianceBernstein	AB Core Opportunities Fund Class A	01879K101	ADGAX	4.25		.25	1.17000		SELL ONLY
AllianceBernstein	AB Core Opportunities Fund Class C	01879K309	ADGCX		1.00	1.00	1.92000		SELL ONLY
AllianceBernstein	AB Core Opportunities Fund Class Z	01879K804	ADGZX				0.85000		SELL ONLY
AllianceBernstein	AB Discovery Growth Fund Advisor Class	018636407	CHCYX				0.71000		SELL ONLY
AllianceBernstein	AB Discovery Growth Fund Class A	018636100	CHCLX	4.25		.23	0.94000		BUY,SELL
AllianceBernstein	AB Discovery Growth Fund Class C	018636308	CHCCX		1.00	1.00	1.71000		SELL ONLY
AllianceBernstein	AB Discovery Growth Fund Class Z	018636803	CHCZX				0.67000		SELL ONLY
AllianceBernstein	AB Discovery Value Fund Advisor Class	018914408	ABYSX				0.84000		SELL ONLY
AllianceBernstein	AB Discovery Value Fund Class A	018914101	ABASX	4.25		.25	1.09000		BUY,SELL
AllianceBernstein	AB Discovery Value Fund Class C	018914309	ABCSX		1.00	1.00	1.84000		SELL ONLY
AllianceBernstein	AB Discovery Value Fund Class Z	018914804	ABSZX				0.81000		SELL ONLY
AllianceBernstein	AB Emerging Markets Multi-Asset Portfolio Advisor Class	01877E545	ABYEX				1.45000		SELL ONLY
AllianceBernstein	AB Emerging Markets Multi-Asset Portfolio Class A	01877E552	ABAEX	4.25		.25	1.70000		SELL ONLY
AllianceBernstein	AB Emerging Markets Multi-Asset Portfolio Class C	01877E537	ABCEX		1.00	1.00	2.45000		SELL ONLY
AllianceBernstein	AB Equity Income Fund Advisor Class	018791400	AUIYX				0.65000		SELL ONLY
AllianceBernstein	AB Equity Income Fund Class A	018791103	AUIAX	4.25		.25	0.90000		SELL ONLY
AllianceBernstein	AB Equity Income Fund Class C	018791301	AUICX		1.00	1.00	1.65000		SELL ONLY
AllianceBernstein	AB Equity Income Fund Class Z	018791806	AUIZX				0.61000		SELL ONLY
AllianceBernstein	AB Global Bond Fund Advisor Class	01853W709	ANAYX				0.55000		SELL ONLY
AllianceBernstein	AB Global Bond Fund Class A	01853W105	ANAGX	4.25		.25	0.80000		BUY,SELL
AllianceBernstein	AB Global Bond Fund Class C	01853W303	ANACX		1.00	1.00	1.55000		SELL ONLY
AllianceBernstein	AB Global Bond Fund Class Z	01853W808	ANAZX				0.52000		SELL ONLY

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AllianceBernstein	AB Global Core Equity Portfolio Advisor Class	01878T244	GCEYX				0.78000		SELL ONLY
AllianceBernstein	AB Global Core Equity Portfolio Class A	01878T269	GCEAX	4.25		.25	1.03000		SELL ONLY
AllianceBernstein	AB Global Core Equity Portfolio Class C	01878T251	GCECX		1.00	1.00	1.79000		SELL ONLY
AllianceBernstein	AB Global Real Estate Investment Fund Advisor Class	01877G409	ARSYX				1.73000		SELL ONLY
AllianceBernstein	AB Global Real Estate Investment Fund Class A	01877G102	AREAX	4.25		.25	1.99000		SELL ONLY
AllianceBernstein	AB Global Real Estate Investment Fund Class C	01877G300	ARECX		1.00	1.00	2.74000		SELL ONLY
AllianceBernstein	AB Global Risk Allocation Fund Class A	018525105	CABNX	4.25		.25	1.43000		SELL ONLY
AllianceBernstein	AB Global Risk Allocation Fund Class Adv	018525501	CBSYX				1.18000		SELL ONLY
AllianceBernstein	AB Global Risk Allocation Fund Class C	018525402	CBACX		1.00	1.00	2.19000		SELL ONLY
AllianceBernstein	AB Growth Fund Advisor Class	01877F757	AGRYX				0.87000		SELL ONLY
AllianceBernstein	AB Growth Fund Class A	01877F401	AGRFYX	4.25		.25	1.12000		BUY,SELL
AllianceBernstein	AB Growth Fund Class C	01877F609	AGRCX		1.00	1.00	1.87000		SELL ONLY
AllianceBernstein	AB High Income Fund Advisor Class	01859M408	AGDYX				0.65000		SELL ONLY
AllianceBernstein	AB High Income Fund Class A	01859M101	AGDAX	4.25		.25	0.90000		BUY,SELL
AllianceBernstein	AB High Income Fund Class C	01859M309	AGDCX		1.00	1.00	1.64000		SELL ONLY
AllianceBernstein	AB High Income Fund Class Z	01859M804	AGDZX				0.59000		SELL ONLY
AllianceBernstein	AB High Income Municipal Portfolio Advisor Class	018642744	ABTYX				0.96000		SELL ONLY
AllianceBernstein	AB High Income Municipal Portfolio Class C	018642736	ABTFX		1.00	1.00	1.96000		SELL ONLY
AllianceBernstein	AB High Income Municipal Portfolio Class Z	018642728	ABTZX				0.95000		SELL ONLY
AllianceBernstein	AB Income Fund Advisor Class	01881M442	ACGYX				0.60000		SELL ONLY
AllianceBernstein	AB Income Fund Class A	01881M467	AKGAX	4.25		.25	0.85000		SELL ONLY
AllianceBernstein	AB Income Fund Class C	01881M459	AKGCX		1.00	1.00	1.60000		SELL ONLY
AllianceBernstein	AB Intermediate California Municipal Portfolio Advisor Class	085568442	AICYX				0.50000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AllianceBernstein	AB Intermediate California Municipal Portfolio Class A	085568814	AICAX	3.00		.25	0.75000		SELL ONLY
AllianceBernstein	AB Intermediate California Municipal Portfolio Class C	085568780	ACMCX		1.00	1.00	1.51000		SELL ONLY
AllianceBernstein	AB Intermediate Diversified Municipal Portfolio Advisor Class	085568483	AIDYX				0.44000		SELL ONLY
AllianceBernstein	AB Intermediate Diversified Municipal Portfolio Class C	085568756	AIMCX		1.00	1.00	1.44000		SELL ONLY
AllianceBernstein	AB Intermediate Diversified Municipal Portfolio Class Z	085568426	AIDZX				0.41000		SELL ONLY
AllianceBernstein	AB Intermediate Duration Portfolio A	085568418	IDPAX	4.25		.25	2.53000		SELL ONLY
AllianceBernstein	AB Intermediate Duration Portfolio Advisor Class	085568384	IDPYX				2.09000		SELL ONLY
AllianceBernstein	AB Intermediate Duration Portfolio Class Z	085568392	IDPZX				0.83000		SELL ONLY
AllianceBernstein	AB Intermediate New York Municipal Portfolio Advisor Class	085568434	ANIYX				0.50000		SELL ONLY
AllianceBernstein	AB Intermediate New York Municipal Portfolio Class A	085568848	ANIAX	3.00		.25	0.75000		SELL ONLY
AllianceBernstein	AB Intermediate New York Municipal Portfolio Class C	085568822	ANMCX		1.00	1.00	1.50000		SELL ONLY
AllianceBernstein	AB International Value Fund Advisor Class	018913400	ABIYX				1.50000		SELL ONLY
AllianceBernstein	AB International Value Fund Class A	018913103	ABIAX	4.25		.25	1.75000		SELL ONLY
AllianceBernstein	AB International Value Fund Class C	018913301	ABICX		1.00	1.00	2.52000		SELL ONLY
AllianceBernstein	AB Large Cap Growth Fund Advisor Class	01877C408	APGYX				0.58000		SELL ONLY
AllianceBernstein	AB Large Cap Growth Fund Class A	01877C101	APGAX	4.25		.25	0.83000		BUY,SELL
AllianceBernstein	AB Large Cap Growth Fund Class C	01877C309	APGCX		1.00	1.00	1.58000		SELL ONLY
AllianceBernstein	AB Large Cap Growth Fund Class Z	01878H885	APGZX				0.51000		SELL ONLY
AllianceBernstein	AB Large Cap Value Fund Advisor Class	018915405	ABVYX				0.64000		SELL ONLY
AllianceBernstein	AB Large Cap Value Fund Class A	018915108	ABVAX	4.25		.25	0.89000		SELL ONLY
AllianceBernstein	AB Large Cap Value Fund Class C	018915306	ABVCX		1.00	1.00	1.65000		SELL ONLY
AllianceBernstein	AB Municipal Bond Inflation Strategy Advisor Class	018528471	AUNYX				0.59000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AllianceBernstein	AB Municipal Bond Inflation Strategy Class C	018528463	AUNCX		1.00	1.00	1.59000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund California Portfolio Advisor Class	018642785	ALCVX				0.52000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund California Portfolio Class C	018642850	ACACX		1.00	1.00	1.52000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Arizona Portfolio Advisor Class	01864E573	AAZYX				0.83000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Arizona Portfolio Class A	01864E797	AAZAX	3.00		.25	1.08000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Arizona Portfolio Class C	01864E771	AAZCX		1.00	1.00	1.84000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Massachusetts Portfolio Advisor Class	01864E110	AMAYX				0.64000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Massachusetts Portfolio Class A	01864E763	AMAAX	3.00		.25	0.89000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Massachusetts Portfolio Class C	01864E748	AMACX		1.00	1.00	1.64000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Virginia Portfolio Advisor Class	01864E128	AVAYX				0.64000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund II Virginia Portfolio Class C	01864E680	AVACX		1.00	1.00	1.64000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund National Portfolio Advisor Class	018642819	ALTVX				0.53000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund National Portfolio Class C	018642835	ALNCX		1.00	1.00	1.54000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund New York Portfolio Advisor Class	018642769	ALNVX				0.57000		SELL ONLY
AllianceBernstein	AB Municipal Income Fund New York Portfolio Class C	018642868	ANYCX		1.00	1.00	1.57000		SELL ONLY
AllianceBernstein	AB Relative Value Fund Advisor Class	018597500	CBBYX				0.69000		SELL ONLY
AllianceBernstein	AB Relative Value Fund Class A	018597104	CABDX	4.25		.25	0.94000		BUY,SELL
AllianceBernstein	AB Relative Value Fund Class C	018597401	CBBCX		1.00	1.00	1.69000		SELL ONLY
AllianceBernstein	AB Relative Value Fund Class Z	018597880	CBBZX				0.63000		SELL ONLY
AllianceBernstein	AB Select US Equity Portfolio Advisor Class	01877E297	AUUYX				1.23000		SELL ONLY
AllianceBernstein	AB Select US Equity Portfolio Class A	01877E313	AUUAX	4.25		.25	1.48000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AllianceBernstein	AB Select US Equity Portfolio Class C	01877E289	AUUCX		1.00	1.00	2.24000		SELL ONLY
AllianceBernstein	AB Select US Long/Short Portfolio Advisor Class	01878T202	ASYLX				1.76000		SELL ONLY
AllianceBernstein	AB Select US Long/Short Portfolio Class A	01878T103	ASLAX	4.25		.25	2.01000		SELL ONLY
AllianceBernstein	AB Select US Long/Short Portfolio Class C	01878T301	ASCLX		1.00	1.00	2.76000		SELL ONLY
AllianceBernstein	AB Small Cap Growth Portfolio Advisor Class	01877E503	QUAYX				0.89000		SELL ONLY
AllianceBernstein	AB Small Cap Growth Portfolio Class A	01877E107	QUASX	4.25		.25	1.14000		SELL ONLY
AllianceBernstein	AB Small Cap Growth Portfolio Class C	01877E404	QUACX		1.00	1.00	1.89000		SELL ONLY
AllianceBernstein	AB Small Cap Growth Portfolio Class Z	01878H802	QUAZX				0.78000		SELL ONLY
AllianceBernstein	AB Small Cap Value Portfolio Advisor Class	01878T558	SCYVX				0.92000		SELL ONLY
AllianceBernstein	AB Small Cap Value Portfolio Class A	01878T574	SCAVX	4.25		.25	1.17000		SELL ONLY
AllianceBernstein	AB Small Cap Value Portfolio Class C	01878T566	SCCVX		1.00	1.00	1.92000		SELL ONLY
AllianceBernstein	AB Sustainable Global Thematic Fund Advisor Class	018780502	ATEYX				0.78000		SELL ONLY
AllianceBernstein	AB Sustainable Global Thematic Fund Class A	018780106	ALTFX	4.25		.25	1.03000		BUY,SELL
AllianceBernstein	AB Sustainable Global Thematic Fund Class C	018780403	ATECX		1.00	1.00	1.78000		SELL ONLY
AllianceBernstein	AB Sustainable Global Thematic Fund Class Z	018780874	ATEZX				0.71000		SELL ONLY
AllianceBernstein	AB Sustainable International Thematic Fund Advisor Class	01879X400	AWPYX				0.80000		SELL ONLY
AllianceBernstein	AB Sustainable International Thematic Fund Class A	01879X103	AWPAX	4.25		.25	1.05000		BUY,SELL
AllianceBernstein	AB Sustainable International Thematic Fund Class C	01879X301	AWPCX		1.00	1.00	1.81000		SELL ONLY
AllianceBernstein	AB Sustainable International Thematic Fund Class Z	01879X806	AWPZX				0.77000		SELL ONLY
AllianceBernstein	AB Sustainable Thematic Balanced Portfolio Advisor Class	01877F575	ABPYX				0.92000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AllianceBernstein	AB Sustainable Thematic Balanced Portfolio Class A	01877F617	ABPAX	4.25		.25	1.22000		SELL ONLY
AllianceBernstein	AB Sustainable Thematic Balanced Portfolio Class C	01877F583	ABPCX		1.00	1.00	2.00000		SELL ONLY
AllianceBernstein	AB Sustainable Thematic Credit Portfolio Advisor Class	018529602	STHYX				0.64000		SELL ONLY
AllianceBernstein	AB Sustainable Thematic Credit Portfolio Class A	018529503	STHAX	4.44		.25	0.89000		SELL ONLY
AllianceBernstein	AB Sustainable US Thematic Portfolio A Class	01878H737	SUTAX	4.25		.25	1.17000		SELL ONLY
AllianceBernstein	AB Sustainable US Thematic Portfolio Advisor Class	01878H778	FFTYX				0.92000		SELL ONLY
AllianceBernstein	AB Sustainable US Thematic Portfolio Class C	01878H711	SUTCX		1.00	1.00	2.14000		SELL ONLY
AllianceBernstein	AB Sustainable US Thematic Portfolio Z Class	01878H729	SUTZX				0.85000		SELL ONLY
AllianceBernstein	AB Tax-Aware Fixed Income Opportunities Portfolio Advisor Class	018528133	ATTYX				0.91000		SELL ONLY
AllianceBernstein	AB Tax-Aware Fixed Income Opportunities Portfolio Class A	018528174	ATTAX	3.00		.25	1.16000		SELL ONLY
AllianceBernstein	AB Tax-Aware Fixed Income Opportunities Portfolio Class C	018528166	ATCCX		1.00	1.00	1.91000		SELL ONLY
AllianceBernstein	AB Tax-Managed Wealth Appreciation Strategy Advisor Class	01877F534	ATWYX				1.05000		SELL ONLY
AllianceBernstein	AB Tax-Managed Wealth Appreciation Strategy Class A	01877F567	ATWAX	4.25		.25	1.30000		SELL ONLY
AllianceBernstein	AB Tax-Managed Wealth Appreciation Strategy Class C	01877F542	ATWCX		1.00	1.00	2.06000		SELL ONLY
AllianceBernstein	AB Wealth Appreciation Strategy Advisor Class	01877F666	AWAYX				1.07000		SELL ONLY
AllianceBernstein	AB Wealth Appreciation Strategy Class A	01877F690	AWAAX	4.25		.25	1.32000		SELL ONLY
AllianceBernstein	AB Wealth Appreciation Strategy Class C	01877F674	AWACX		1.00	1.00	2.08000		SELL ONLY
AllianceBernstein	Bernstein International Strategic Equities Portfolio Class SCB	085567105	STESX				0.95000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AllianceBernstein	The AB Portfolios - AB Sustainable Thematic Balanced Portfolio Class Z	01877F385	ABPZX				0.91000		SELL ONLY
Allspring Global Investments	Allspring Absolute Return Fund - Class A	94987W109	WARAX	5.75		.00	1.19000		SELL ONLY
Allspring Global Investments	Allspring Absolute Return Fund - Class Admin	94987W307	WARDX			.00	1.12000		SELL ONLY
Allspring Global Investments	Allspring Absolute Return Fund - Class C	94987W208	WARCX		1.00	.75	1.94000		SELL ONLY
Allspring Global Investments	Allspring Absolute Return Fund - Class Inst	94987W737	WABIX			.00	0.87000		SELL ONLY
Allspring Global Investments	Allspring Absolute Return Fund - Class R6	94988A692	WARRX			.00	0.77000		SELL ONLY
Allspring Global Investments	Allspring Adjustable Rate Government Fund - Class A	94985D665	ESAAX	2.00		.00	0.89000		SELL ONLY
Allspring Global Investments	Allspring Adjustable Rate Government Fund - Class Admin	94975P785	ESADX			.00	0.84000		SELL ONLY
Allspring Global Investments	Allspring Adjustable Rate Government Fund - Class C	94985D640	ESACX		1.00	.75	1.64000		SELL ONLY
Allspring Global Investments	Allspring Adjustable Rate Government Fund - Class Inst	94985D632	EKIZX			.00	0.57000		SELL ONLY
Allspring Global Investments	Allspring Alternative Risk Premia Fund Class R6	94988V241	WRPRX			.00	1.41000		SELL ONLY
Allspring Global Investments	Allspring Alternative Risk Premia Fund Institutional Class	94988V258	WRPIX			.00	1.51000		SELL ONLY
Allspring Global Investments	Allspring Asset Allocation Fund - Class A	94985D442	EAAFX	5.75		.00	1.19000		SELL ONLY
Allspring Global Investments	Allspring Asset Allocation Fund - Class Admin	94985D418	EAI FX			.00	1.12000		SELL ONLY
Allspring Global Investments	Allspring Asset Allocation Fund - Class C	94985D426	EACFX		1.00	.75	1.94000		SELL ONLY
Allspring Global Investments	Allspring Asset Allocation Fund - Class Inst	94987W745	EAAIX			.00	0.87000		SELL ONLY
Allspring Global Investments	Allspring California Limited-Term Tax-Free Fund - Administrator Class	94975H650	SCTIX			.00	0.81000		SELL ONLY
Allspring Global Investments	Allspring California Limited-Term Tax-Free Fund - Class A	94975H668	SFCIX	2.00		.00	0.86000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring California Limited-Term Tax-Free Fund - Class C	94975J755	SFCCX		1.00	.75	1.61000		SELL ONLY
Allspring Global Investments	Allspring California Limited-Term Tax-Free Fund - Institutional Class	94988A742	SFCNX			.00	0.54000		SELL ONLY
Allspring Global Investments	Allspring California Tax-Free Fund - Class A	94975H718	SCTAX	4.50		.00	0.83000		SELL ONLY
Allspring Global Investments	Allspring California Tax-Free Fund - Class Admin	94975H676	SGCAX			.00	0.78000		SELL ONLY
Allspring Global Investments	Allspring California Tax-Free Fund - Class C	94975H684	SCTCX		1.00	.75	1.58000		SELL ONLY
Allspring Global Investments	Allspring California Tax-Free Fund - Class Inst	94988A734	SGTIX			.00	0.51000		SELL ONLY
Allspring Global Investments	Allspring Common Stock Fund - Class A	949915441	SCSAX	5.75		.00	1.27000		SELL ONLY
Allspring Global Investments	Allspring Common Stock Fund - Class Admin	94975P629	SCSDX			.00	1.20000		SELL ONLY
Allspring Global Investments	Allspring Common Stock Fund - Class C	949915425	STSAX		1.00	.75	2.02000		SELL ONLY
Allspring Global Investments	Allspring Common Stock Fund - Class Inst	94975P611	SCNSX			.00	0.95000		SELL ONLY
Allspring Global Investments	Allspring Common Stock Fund - Class R6	94987W554	SCSRX			.00	0.85000		SELL ONLY
Allspring Global Investments	Allspring Core Bond Fund - Class A	94975J631	MBFAX	4.50		.00	0.80000		SELL ONLY
Allspring Global Investments	Allspring Core Bond Fund - Class Admin	94975J599	MNTRX			.00	0.75000		SELL ONLY
Allspring Global Investments	Allspring Core Bond Fund - Class C	94975J615	MBFCX		1.00	.75	1.55000		SELL ONLY
Allspring Global Investments	Allspring Core Bond Fund - Class R6	94987W794	WTRIX			.00	0.43000		SELL ONLY
Allspring Global Investments	Allspring Core Bond Fund - Institutional Class	94975J581	MBFIX			.00	0.48000		SELL ONLY
Allspring Global Investments	Allspring Core Plus Bond Fund Class A	94975H791	STYAX	4.50		.00	0.81000		BUY,SELL
Allspring Global Investments	Allspring Core Plus Bond Fund Class Admin	94975P835	WIPDX			.00	0.76000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Core Plus Bond Fund Class C	94975H775	WFIPX		1.00	.75	1.56000		SELL ONLY
Allspring Global Investments	Allspring Core Plus Bond Fund Class Institutional	94984B694	WIPIX			.00	0.49000		SELL ONLY
Allspring Global Investments	Allspring Core Plus Bond Fund Class R6	94990B308	STYJX			.00	0.44000		SELL ONLY
Allspring Global Investments	Allspring Disciplined Small Cap Fund Administrator Class	94975G488	NVSOX			.00	1.64000		SELL ONLY
Allspring Global Investments	Allspring Disciplined Small Cap Fund Class A	94975G512	WDSAX	5.75		.00	1.71000		SELL ONLY
Allspring Global Investments	Allspring Disciplined Small Cap Fund Class R6	94990B506	WSCJX			.00	1.29000		SELL ONLY
Allspring Global Investments	Allspring Disciplined Small Cap Fund Institutional Class	94988A718	WSCO X			.00	1.39000		SELL ONLY
Allspring Global Investments	Allspring Disciplined U.S. Core Fund - Class A	94984B173	EVSA X	5.75		.00	0.83000		SELL ONLY
Allspring Global Investments	Allspring Disciplined U.S. Core Fund - Class Admin	94984B157	EVSYX			.00	0.76000		SELL ONLY
Allspring Global Investments	Allspring Disciplined U.S. Core Fund - Class C	94984B165	EVSTX		1.00	.75	1.58000		SELL ONLY
Allspring Global Investments	Allspring Disciplined U.S. Core Fund - Class Inst	94975P728	EVSIX			.00	0.51000		SELL ONLY
Allspring Global Investments	Allspring Disciplined U.S. Core Fund - Class R6	94988V308	EVSRX			.00	0.41000		SELL ONLY
Allspring Global Investments	Allspring Discovery Small Cap Growth Fund - Class A	94985D251	EGWA X	5.75		.00	1.53000		SELL ONLY
Allspring Global Investments	Allspring Discovery Small Cap Growth Fund - Class Admin	94975P652	EGWD X			.00	1.46000		SELL ONLY
Allspring Global Investments	Allspring Discovery Small Cap Growth Fund - Class C	94975P645	EGWC X		1.00	.75	2.28000		SELL ONLY
Allspring Global Investments	Allspring Discovery Small Cap Growth Fund - Class Inst	94985D244	EGRYX			.00	1.21000		SELL ONLY
Allspring Global Investments	Allspring Discovery Small Cap Growth Fund - Class R6	94990B662	EGWR X			.00	1.11000		SELL ONLY
Allspring Global Investments	Allspring Diversified Capital Builder Fund - Class A	94985D384	EKBAX	5.75		.00	1.08000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Diversified Capital Builder Fund - Class Admin	94975P678	EKBDX			.00	1.01000		SELL ONLY
Allspring Global Investments	Allspring Diversified Capital Builder Fund - Class C	94985D368	EKBCX		1.00	.75	1.83000		SELL ONLY
Allspring Global Investments	Allspring Diversified Capital Builder Fund - Class Inst	94985D350	EKBYX			.00	0.76000		SELL ONLY
Allspring Global Investments	Allspring Diversified Income Builder Fund Class A	94985D343	EKSAX	5.75		.00	1.19000		SELL ONLY
Allspring Global Investments	Allspring Diversified Income Builder Fund Class Admin	94975P660	EKSDX			.00	1.12000		SELL ONLY
Allspring Global Investments	Allspring Diversified Income Builder Fund Class C	94985D327	EKSCX		1.00	.75	1.94000		SELL ONLY
Allspring Global Investments	Allspring Diversified Income Builder Fund Class Inst	94985D319	EKSYX			.00	0.87000		SELL ONLY
Allspring Global Investments	Allspring Diversified Income Builder Fund Class R6	94988V431	EKSRX			.00	0.77000		SELL ONLY
Allspring Global Investments	Allspring Emerging Growth Fund - Class A	949921720	WEMAX	5.75		.00	1.40000		SELL ONLY
Allspring Global Investments	Allspring Emerging Growth Fund - Class Admin	949917264	WFGDX			.00	1.33000		SELL ONLY
Allspring Global Investments	Allspring Emerging Growth Fund - Class C	949921712	WEMCX		1.00	.75	2.15000		SELL ONLY
Allspring Global Investments	Allspring Emerging Growth Fund - Class Inst	949921688	WEMIX			.00	1.08000		SELL ONLY
Allspring Global Investments	Allspring Emerging Growth Fund - Class R6	94988V423	WEGRX			.00	0.98000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Advantage Fund - Class A	94975P413	EQIAX	5.75		.00	1.61000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Advantage Fund - Class Admin	94975P389	EQIDX			.00	1.54000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Advantage Fund - Class C	94975P397	EQICX		1.00	.75	2.36000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Advantage Fund - Class Inst	94975P371	EQIIX			.00	1.29000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Advantage Fund - Class R6	94988V704	EQIRX			.00	1.19000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Emerging Markets Equity Fund - Class A	94984B389	EMGAX	5.75		.00	1.52000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Fund - Class Admin	94984B355	EMGYX			.00	1.45000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Fund - Class C	94984B363	EMGCX		1.00	.75	2.27000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Fund - Class Inst	94975P751	EMGNX			.00	1.20000		SELL ONLY
Allspring Global Investments	Allspring Emerging Markets Equity Fund - Class R6	94987W539	EMGDX			.00	1.10000		SELL ONLY
Allspring Global Investments	Allspring Government Securities Fund - Class A	949917553	SGVDX	4.50		.00	0.91000		SELL ONLY
Allspring Global Investments	Allspring Government Securities Fund - Class Admin	949917546	WGSD X			.00	0.86000		SELL ONLY
Allspring Global Investments	Allspring Government Securities Fund - Class C	949917587	WGSC X		1.00	.75	1.66000		SELL ONLY
Allspring Global Investments	Allspring Government Securities Fund - Class Inst	949917579	SGVIX			.00	0.59000		SELL ONLY
Allspring Global Investments	Allspring Growth Fund - Class A	949915672	SGRAX	5.75		.00	1.18000		SELL ONLY
Allspring Global Investments	Allspring Growth Fund - Class Admin	949915698	SGRKX			.00	1.11000		SELL ONLY
Allspring Global Investments	Allspring Growth Fund - Class C	949915722	WGFC X		1.00	.75	1.93000		SELL ONLY
Allspring Global Investments	Allspring Growth Fund - Class Inst	949915714	SGRNX			.00	0.86000		SELL ONLY
Allspring Global Investments	Allspring Growth Fund - Class R6	94988V803	SGRHX			.00	0.76000		SELL ONLY
Allspring Global Investments	Allspring High Yield Bond Fund - Class A	94985D210	EKHAX	4.50		.00	1.02000		SELL ONLY
Allspring Global Investments	Allspring High Yield Bond Fund - Class Admin	94985D178	EKHYX			.00	0.97000		SELL ONLY
Allspring Global Investments	Allspring High Yield Bond Fund - Class C	94985D186	EKHCX		1.00	.75	1.77000		SELL ONLY
Allspring Global Investments	Allspring High Yield Bond Fund - Class Inst	94988A726	EKHIX			.00	0.70000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring High Yield Municipal Bond Fund Class A	94988A106	WHYM X	4.50		.00	1.07000		SELL ONLY
Allspring Global Investments	Allspring High Yield Municipal Bond Fund Class Admin	94988A304	WHYD X			.00	1.02000		SELL ONLY
Allspring Global Investments	Allspring High Yield Municipal Bond Fund Class C	94988A205	WHYC X		1.00	.75	1.82000		SELL ONLY
Allspring Global Investments	Allspring High Yield Municipal Bond Fund Class Inst	94988A403	WHYIX			.00	0.75000		SELL ONLY
Allspring Global Investments	Allspring High Yield Municipal Bond Fund Class R6	94988V415	EKHRX			.00	0.70000		SELL ONLY
Allspring Global Investments	Allspring Income Plus Fund - Class A	94988A502	WSIAX	4.00		.00	1.03000		SELL ONLY
Allspring Global Investments	Allspring Income Plus Fund - Class Admin	94988A700	WSIDX			.00	0.98000		SELL ONLY
Allspring Global Investments	Allspring Income Plus Fund - Class C	94988A601	WSICX		1.00	.75	1.78000		SELL ONLY
Allspring Global Investments	Allspring Income Plus Fund - Class Inst	94988A809	WSINX			.00	0.71000		SELL ONLY
Allspring Global Investments	Allspring Index Asset Allocation Fund - Class A	94975H247	SFAAX	5.75		.00	1.11000		SELL ONLY
Allspring Global Investments	Allspring Index Asset Allocation Fund - Class Admin	94975H213	WFAIX			.00	1.04000		SELL ONLY
Allspring Global Investments	Allspring Index Asset Allocation Fund - Class C	94975H221	WFALX		1.00	.75	1.86000		SELL ONLY
Allspring Global Investments	Allspring Index Asset Allocation Fund Institutional Class	94990B704	WFATX			.00	0.79000		SELL ONLY
Allspring Global Investments	Allspring Index Fund - Class A	94984B777	WFILX	5.75		.00	0.62000		SELL ONLY
Allspring Global Investments	Allspring Index Fund - Class Admin	94975G686	WFIOX			.00	0.40000		SELL ONLY
Allspring Global Investments	Allspring Index Fund - Class C	94984B561	WFINX		1.00	.75	1.37000		SELL ONLY
Allspring Global Investments	Allspring Innovation Fund - Class A	94975H148	WFSTX	5.75		.00	1.30000		SELL ONLY
Allspring Global Investments	Allspring Innovation Fund - Class Admin	94975P710	WFTDX			.00	1.23000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Innovation Fund - Class C	94975H122	WFTCX		1.00	.75	2.05000		SELL ONLY
Allspring Global Investments	Allspring Innovation Fund - Class Institutional	94990B878	WFTIX			.00	0.98000		SELL ONLY
Allspring Global Investments	Allspring Intermediate Tax/AMT-Free Fund - Class Admin	949921597	WFITX			.00	0.77000		SELL ONLY
Allspring Global Investments	Allspring Intermediate Tax/AMT-Free Fund - Class C	949921852	WFTFX		1.00	.75	1.57000		SELL ONLY
Allspring Global Investments	Allspring Intermediate Tax/AMT-Free Fund - Class Inst	949921662	WITIX			.00	0.50000		SELL ONLY
Allspring Global Investments	Allspring Intermediate Tax/AMT-Free Fund - Class R6	94988V399	WFRTX			.00	0.45000		SELL ONLY
Allspring Global Investments	Allspring International Equity Fund - Class A	949915177	WFEAX	5.75		.00	1.40000		SELL ONLY
Allspring Global Investments	Allspring International Equity Fund - Class Admin	949915144	WFEDX			.00	1.33000		SELL ONLY
Allspring Global Investments	Allspring International Equity Fund - Class C	949915151	WFEFX		1.00	.75	2.15000		SELL ONLY
Allspring Global Investments	Allspring International Equity Fund - Class Inst	94984B348	WFENX			.00	1.08000		SELL ONLY
Allspring Global Investments	Allspring International Equity Fund - Class R6	94988V886	WFEHX			.00	0.98000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Core Fund - Class A	94984B553	EGOAX	5.75		.00	1.21000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Core Fund - Class Admin	94984B538	WFLLX			.00	1.14000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Core Fund - Class C	94984B546	EGOCX		1.00	.75	1.96000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Core Fund - Class Inst	94984B520	EGOIX			.00	0.89000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Core Fund - Class R6	94988V860	EGORX			.00	0.79000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Growth Fund - Class A	94975P462	STAFX	5.75		.00	1.18000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Growth Fund - Class Admin	94975P546	STDFX			.00	1.11000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Large Cap Growth Fund - Class C	94975P454	STOFX		1.00	.75	1.93000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Growth Fund - Class R6	94987W828	STFFX			.00	0.76000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Growth Fund - Institutional Class	94975P512	STNFX			.00	0.86000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Value Admin	94975J276	CBLLX			.00	1.14000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Value CL A	94975J326	CBEAX	5.75		.00	1.21000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Value CL C	94975J292	CBECX		1.00	.75	1.96000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Value CL R6	94990B100	CBEJX			.00	0.79000		SELL ONLY
Allspring Global Investments	Allspring Large Cap Value Inst	94975J268	CBLSX			.00	0.89000		SELL ONLY
Allspring Global Investments	Allspring Large Company Value Fund - Class A	949921696	WLCAX	5.75		.00	0.96000		SELL ONLY
Allspring Global Investments	Allspring Large Company Value Fund - Class Admin	949915854	WWIDX			.00	0.89000		SELL ONLY
Allspring Global Investments	Allspring Large Company Value Fund - Class C	949921811	WFLVX		1.00	.75	1.71000		SELL ONLY
Allspring Global Investments	Allspring Large Company Value Fund - Class Inst	949921795	WLCIX			.00	0.64000		SELL ONLY
Allspring Global Investments	Allspring Large Company Value Fund Class R6	94990B746	WTLVX			.00	0.54000		SELL ONLY
Allspring Global Investments	Allspring Mid Cap Growth Fund - Class A	949915375	SENAX	5.75		.00	1.23000		SELL ONLY
Allspring Global Investments	Allspring Mid Cap Growth Fund - Class Admin	949915391	SEPCK			.00	1.16000		SELL ONLY
Allspring Global Investments	Allspring Mid Cap Growth Fund - Class C	949921779	WENCX		1.00	.75	1.98000		SELL ONLY
Allspring Global Investments	Allspring Mid Cap Growth Fund - Class Inst	949915367	WFEIX			.00	0.91000		SELL ONLY
Allspring Global Investments	Allspring Mid Cap Growth Fund - Class R6	94988A684	WENRX			.00	0.81000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Minnesota Tax-Free Fund - Class A	94975H593	NMTFX	4.50		.00	0.91000		SELL ONLY
Allspring Global Investments	Allspring Minnesota Tax-Free Fund - Class Admin	94975H577	NWMIX			.00	0.86000		SELL ONLY
Allspring Global Investments	Allspring Minnesota Tax-Free Fund - Class C	949917769	WMTC X		1.00	.75	1.66000		SELL ONLY
Allspring Global Investments	Allspring Minnesota Tax-Free Fund Institutional Class	94990B803	WMTIX			.00	0.59000		SELL ONLY
Allspring Global Investments	Allspring Municipal Bond Fund - Class A	949917843	WMFA X	4.50		.00	0.75000		SELL ONLY
Allspring Global Investments	Allspring Municipal Bond Fund - Class Admin	949917793	WMFD X			.00	0.70000		SELL ONLY
Allspring Global Investments	Allspring Municipal Bond Fund - Class C	949917827	WMFC X		1.00	.75	1.50000		SELL ONLY
Allspring Global Investments	Allspring Municipal Bond Fund - Class Inst	949921670	WMBIX			.00	0.43000		SELL ONLY
Allspring Global Investments	Allspring Municipal Bond Fund - Class R6	94988V365	WMBR X			.00	0.38000		SELL ONLY
Allspring Global Investments	Allspring Opportunity Fund - Class A	949915458	SOPVX	5.75		.00	1.19000		SELL ONLY
Allspring Global Investments	Allspring Opportunity Fund - Class Admin	949915474	WOFD X			.00	1.12000		SELL ONLY
Allspring Global Investments	Allspring Opportunity Fund - Class C	949921787	WFOPX		1.00	.75	1.94000		SELL ONLY
Allspring Global Investments	Allspring Opportunity Fund - Class Inst	94975P595	WOFN X			.00	0.87000		SELL ONLY
Allspring Global Investments	Allspring Pennsylvania Tax-Free Fund - Class A	94985D699	EKVAX	4.50		.00	0.98000		SELL ONLY
Allspring Global Investments	Allspring Pennsylvania Tax-Free Fund - Class C	94985D681	EKVCX		1.00	.75	1.73000		SELL ONLY
Allspring Global Investments	Allspring Pennsylvania Tax-Free Fund - Class Inst	94985D673	EKVYX			.00	0.66000		SELL ONLY
Allspring Global Investments	Allspring Precious Metals Fund - Class A	94985D533	EKWAX	5.75		.00	1.19000		SELL ONLY
Allspring Global Investments	Allspring Precious Metals Fund - Class Admin	94975P694	EKWDX			.00	1.12000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Precious Metals Fund - Class C	94985D517	EKWCX		1.00	.75	1.94000		SELL ONLY
Allspring Global Investments	Allspring Precious Metals Fund - Class Inst	94985D491	EKWYX			.00	0.87000		SELL ONLY
Allspring Global Investments	Allspring Premier Large Company Growth Fund - Class A	94984B496	EKJAX	5.75		.00	1.15000		SELL ONLY
Allspring Global Investments	Allspring Premier Large Company Growth Fund - Class Admin	94984B462	WFPDX			.00	1.08000		SELL ONLY
Allspring Global Investments	Allspring Premier Large Company Growth Fund - Class C	94984B470	EKJCX		1.00	.75	1.90000		SELL ONLY
Allspring Global Investments	Allspring Premier Large Company Growth Fund - Class R6	94987W810	EKJFX			.00	0.73000		SELL ONLY
Allspring Global Investments	Allspring Premier Large Company Growth Fund - Institutional Class	94984B454	EKJYX			.00	0.83000		SELL ONLY
Allspring Global Investments	Allspring Real Return Fund - Class A	94975J730	IPBAX	4.50		.00	1.12000		SELL ONLY
Allspring Global Investments	Allspring Real Return Fund - Class Admin	94975J698	IPBIX			.00	1.07000		SELL ONLY
Allspring Global Investments	Allspring Real Return Fund - Class C	94975J714	IPBCX		1.00	.75	1.87000		SELL ONLY
Allspring Global Investments	Allspring Real Return Fund - Institutional Class	94990B886	IPBNX			.00	0.80000		SELL ONLY
Allspring Global Investments	Allspring Real Return Fund Class R6	94990B407	IPBJX			.00	0.75000		SELL ONLY
Allspring Global Investments	Allspring Short Duration Government Bond Fund - Class A	94975J573	MSDAX	2.00		.00	0.86000		SELL ONLY
Allspring Global Investments	Allspring Short Duration Government Bond Fund - Class Admin	94975J540	MNSGX			.00	0.81000		SELL ONLY
Allspring Global Investments	Allspring Short Duration Government Bond Fund - Class C	94975J557	MSDCX		1.00	.75	1.61000		SELL ONLY
Allspring Global Investments	Allspring Short Duration Government Bond Fund - Class Inst	949917595	WSGIX			.00	0.54000		SELL ONLY
Allspring Global Investments	Allspring Short Duration Government Bond Fund - Class R6	94987W778	MSDRX			.00	0.49000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Bond Plus Fund - Class A	949917637	SSTVX	2.00		.00	0.81000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Short-Term Bond Plus Fund - Class C	949921639	WFSHX		1.00	.75	1.56000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Bond Plus Fund - Class Inst	949917652	SSHIX			.00	0.49000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Bond Plus Fund - Class R6	94988V357	SSTYX			.00	0.44000		SELL ONLY
Allspring Global Investments	Allspring Short-Term High Income Fund - Class A	949917611	SSTHX	3.00		.00	0.90000		SELL ONLY
Allspring Global Investments	Allspring Short-Term High Income Fund - Class Admin	94975P843	WDHYX			.00	0.85000		SELL ONLY
Allspring Global Investments	Allspring Short-Term High Income Fund - Class C	949921621	WFHYX		1.00	.75	1.65000		SELL ONLY
Allspring Global Investments	Allspring Short-Term High Income Fund - Class Inst	94987W752	STYIX			.00	0.58000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Municipal Bond Fund - Class Admin	94975P819	WSTMX			.00	0.71000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Municipal Bond Fund - Class C	949917876	WSSCX		1.00	.75	1.51000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Municipal Bond Fund - Class Inst	949921654	WSBIX			.00	0.44000		SELL ONLY
Allspring Global Investments	Allspring Short-Term Municipal Bond Fund -Class R6	94988V340	WSSRX			.00	0.39000		SELL ONLY
Allspring Global Investments	Allspring Small Company Growth Fund - Class A	94975J359	WFSAX	5.75		.00	1.34000		BUY,SELL
Allspring Global Investments	Allspring Small Company Growth Fund - Class Admin	94975G447	NVSCX			.00	1.27000		SELL ONLY
Allspring Global Investments	Allspring Small Company Growth Fund - Class C	94975J334	WSMCX		1.00	.75	2.09000		SELL ONLY
Allspring Global Investments	Allspring Small Company Growth Fund - Class Inst	949921571	WSCGX			.00	1.02000		SELL ONLY
Allspring Global Investments	Allspring Small Company Growth Fund - Class R6	94988A676	WSCRX			.00	0.92000		SELL ONLY
Allspring Global Investments	Allspring Small Company Value Fund - Class A	94975P884	SCVAX	5.75		.00	1.30000		SELL ONLY
Allspring Global Investments	Allspring Small Company Value Fund - Class Admin	94975P868	SCVIX			.00	1.23000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Small Company Value Fund - Class C	94975J748	SCVFX		1.00	.75	2.05000		SELL ONLY
Allspring Global Investments	Allspring Small Company Value Fund - Class Inst	94975P421	SCVNX			.00	0.98000		SELL ONLY
Allspring Global Investments	Allspring Small Company Value Fund Class R6	94990B209	SCVJX			.00	0.88000		SELL ONLY
Allspring Global Investments	Allspring SMID Cap Growth Fund - Class A	949921506	WFDAX	5.75		.00	1.24000		SELL ONLY
Allspring Global Investments	Allspring SMID Cap Growth Fund - Class Admin	949915359	WFDDX			.00	1.17000		SELL ONLY
Allspring Global Investments	Allspring SMID Cap Growth Fund - Class C	949921605	WDSC X		1.00	.75	1.99000		SELL ONLY
Allspring Global Investments	Allspring SMID Cap Growth Fund - Class Inst	949917355	WFDSX			.00	0.92000		SELL ONLY
Allspring Global Investments	Allspring SMID Cap Growth Fund - Class R6	94987W547	WFDRX			.00	0.82000		SELL ONLY
Allspring Global Investments	Allspring Special Global Small Cap Fund Class A	94985D855	EKGAX	5.75		.00	1.55000		SELL ONLY
Allspring Global Investments	Allspring Special Global Small Cap Fund Class Admin	94985D822	EKGYX			.00	1.48000		SELL ONLY
Allspring Global Investments	Allspring Special Global Small Cap Fund Class C	94985D830	EKGCX		1.00	.75	2.30000		SELL ONLY
Allspring Global Investments	Allspring Special Global Small Cap Fund Class Inst	94975P744	EKGIX			.00	1.23000		SELL ONLY
Allspring Global Investments	Allspring Special International Small Cap Fund Class A	94975P280	ASPAX	5.75		.00	1.54000		SELL ONLY
Allspring Global Investments	Allspring Special International Small Cap Fund Class C	94975P272	ACPCX		1.00	.75	2.29000		SELL ONLY
Allspring Global Investments	Allspring Special International Small Cap Fund Class R6	949917165	WICRX			.00	1.12000		SELL ONLY
Allspring Global Investments	Allspring Special International Small Cap Fund Institutional Class	949917173	WICIX			.00	1.22000		SELL ONLY
Allspring Global Investments	Allspring Special Large Cap Value Fund - Class A	94984B223	EIVAX	5.75		.00	1.16000		SELL ONLY
Allspring Global Investments	Allspring Special Large Cap Value Fund - Class Admin	94975P538	EIVDX			.00	1.09000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Special Large Cap Value Fund - Class C	94984B199	EIVCX		1.00	.75	1.91000		SELL ONLY
Allspring Global Investments	Allspring Special Large Cap Value Fund - Class Inst	94984B181	EIVIX			.00	0.84000		SELL ONLY
Allspring Global Investments	Allspring Special Large Cap Value Fund - Class R6	94987W844	EIVFX			.00	0.74000		SELL ONLY
Allspring Global Investments	Allspring Special Mid Cap Value Fund - Class A	949921308	WFPAX	5.75		.00	1.12000		BUY,SELL
Allspring Global Investments	Allspring Special Mid Cap Value Fund - Class Admin	949915516	WFMDX			.00	1.05000		SELL ONLY
Allspring Global Investments	Allspring Special Mid Cap Value Fund - Class C	949921407	WFPCX		1.00	.75	1.87000		SELL ONLY
Allspring Global Investments	Allspring Special Mid Cap Value Fund - Class Inst	949915482	WFMIX			.00	0.80000		SELL ONLY
Allspring Global Investments	Allspring Special Mid Cap Value Fund - Class R6	94987W513	WFPRX			.00	0.70000		SELL ONLY
Allspring Global Investments	Allspring Special Small Cap Value Fund - Class A	94984B439	ESPAX	5.75		.00	1.41000		SELL ONLY
Allspring Global Investments	Allspring Special Small Cap Value Fund - Class Admin	94984B397	ESPIX			.00	1.34000		SELL ONLY
Allspring Global Investments	Allspring Special Small Cap Value Fund - Class C	94984B413	ESPCX		1.00	.75	2.16000		SELL ONLY
Allspring Global Investments	Allspring Special Small Cap Value Fund - Class Inst	94975P447	ESPNX			.00	1.09000		SELL ONLY
Allspring Global Investments	Allspring Special Small Cap Value Fund - Class R6	94988A668	ESPRX			.00	0.99000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Aggressive Growth Fund Admin Class	94990B563	WEADX			.00	0.94000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Aggressive Growth Fund Class A	94990B811	WEAFX	5.75		.00	1.01000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Aggressive Growth Fund Class C	94990B753	WEACX		1.00	.75	1.76000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Aggressive Growth Fund Institutional Class	94988V290	WEAYX			.00	0.69000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Conservative Growth Fund Class A	94990B829	WMBGX	5.75		.00	1.10000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Spectrum Conservative Growth Fund Class C	94990B761	WMBF X		1.00	.75	1.85000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Conservative Growth Fund Institutional Class	94988V266	WMBZ X			.00	0.78000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Growth Fund Class A	94990B852	WGAFX	5.75		.00	1.11000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Growth Fund Class C	94990B787	WGCF X		1.00	.75	1.86000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Growth Fund Institutional Class	94988V282	WGAY X			.00	0.79000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Income Allocation Fund Class A	94990B845	WCAFX	5.75		.00	1.15000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Income Allocation Fund Class C	94990B795	WCCFX		1.00	.75	1.90000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Income Allocation Fund Institutional Class	94988V316	WCYFX			.00	0.83000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Moderate Growth Fund Class A	94990B837	WGBA X	5.75		.00	1.10000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Moderate Growth Fund Class C	94990B779	WGBFX		1.00	.75	1.85000		SELL ONLY
Allspring Global Investments	Allspring Spectrum Moderate Growth Fund Institutional Class	94988V274	WGBIX			.00	0.78000		SELL ONLY
Allspring Global Investments	Allspring Strategic Municipal Bond Fund - Class A	94985D772	VMPAX	4.00		.00	0.79000		SELL ONLY
Allspring Global Investments	Allspring Strategic Municipal Bond Fund - Class Admin	94985D749	VMPYX			.00	0.74000		SELL ONLY
Allspring Global Investments	Allspring Strategic Municipal Bond Fund - Class C	94985D756	DHICX		1.00	.75	1.54000		SELL ONLY
Allspring Global Investments	Allspring Strategic Municipal Bond Fund - Class Inst	94987W760	STRIX			.00	0.47000		SELL ONLY
Allspring Global Investments	Allspring Strategic Municipal Bond Fund - Class R6	94988V332	VMPRX			.00	0.42000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Income Fund - Class A	949917728	SADAX	2.00		.00	0.69000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Income Fund - Class Admin	949917710	WUSD X			.00	0.64000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Allspring Global Investments	Allspring Ultra Short-Term Income Fund - Class C	94984B710	WUSTX		1.00	.75	1.44000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Income Fund - Class Inst	949917744	SADIX			.00	0.37000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Municipal Income Fund - Class A	949917884	SMAVX	2.00		.00	0.66000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Municipal Income Fund - Class Admin	94975P793	WUSM X			.00	0.61000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Municipal Income Fund - Class C	949921647	WFUSX		1.00	.75	1.41000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Municipal Income Fund - Class Inst	949917702	SMAIX			.00	0.34000		SELL ONLY
Allspring Global Investments	Allspring Ultra Short-Term Municipal Income Fund - Class R6	94988V324	WUSR X			.00	0.29000		SELL ONLY
Allspring Global Investments	Allspring Utility and Telecommunications Fund - Class A	94985D483	EVUAX	5.75		.00	1.17000		SELL ONLY
Allspring Global Investments	Allspring Utility and Telecommunications Fund - Class Admin	94975P686	EVUDX			.00	1.10000		SELL ONLY
Allspring Global Investments	Allspring Utility and Telecommunications Fund - Class C	94985D467	EVUCX		1.00	.75	1.92000		SELL ONLY
Allspring Global Investments	Allspring Utility and Telecommunications Fund - Class Inst	94985D459	EVUYX			.00	0.85000		SELL ONLY
Allspring Global Investments	Allspring Wisconsin Tax-Free Fund - Class C	949917785	WWTC X		1.00	.75	1.70000		SELL ONLY
Allspring Global Investments	Allspring Wisconsin Tax-Free Fund Institutional Class	94990B860	WWTIX			.00	0.63000		SELL ONLY
Amana	Amana Mutual Funds Trust Developing World Fund Institutional	022865604	AMIDX				0.98000		SELL ONLY
Amana	Amana Mutual Funds Trust Developing World Fund Investor	022865307	AMDW X			.25	1.20000		SELL ONLY
Amana	Amana Mutual Funds Trust Growth Fund Institutional	022865505	AMIGX				0.62000		SELL ONLY
Amana	Amana Mutual Funds Trust Growth Fund Investor	022865208	AMAGX			.25	0.87000		SELL ONLY
Amana	Amana Mutual Funds Trust Income Fund Institutional	022865406	AMINX				0.76000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Amana	Amana Mutual Funds Trust Income Fund Investor	022865109	AMANX			.25	1.01000		SELL ONLY
Amana	Amana Participation Fund Institutional Shares	022865802	AMIPX				0.58000		SELL ONLY
Amana	Amana Participation Fund Investor Shares	022865703	AMAPX			.25	0.83000		SELL ONLY
American Beacon	American Beacon AHL Managed Futures Strategy Fund A Class	024525644	AHLAX	5.75		.25	1.89000		SELL ONLY
American Beacon	American Beacon AHL Managed Futures Strategy Fund C Class	024525685	AHLCX		1.00	1.00	2.55000		SELL ONLY
American Beacon	American Beacon AHL Managed Futures Strategy Fund Investor Class	024525651	AHLPX			.00	1.86000		SELL ONLY
American Beacon	American Beacon AHL Managed Futures Strategy Fund R5 Class	024525669	AHLIX			.00	1.51000		SELL ONLY
American Beacon	American Beacon AHL Managed Futures Strategy Fund Y Class	024525677	AHLYX			.00	1.60000		SELL ONLY
American Beacon	American Beacon Ahl Multi-Alternatives Fund A Class	02452A825	AHMAX	5.75		.25	2.02000		SELL ONLY
American Beacon	American Beacon Ahl Multi-Alternatives Fund C Class	02452A817	AHMCX		1.00	1.00	2.77000		SELL ONLY
American Beacon	American Beacon Ahl Multi-Alternatives Fund R6 Class	02452A833	AHMRX			.00	1.67000		SELL ONLY
American Beacon	American Beacon Ahl Multi-Alternatives Fund Y Class	02452A791	AHMYX			.00	1.77000		SELL ONLY
American Beacon	American Beacon AHL TargetRisk Fund A	024526212	AHTAX	5.75		.25	1.58000		SELL ONLY
American Beacon	American Beacon AHL TargetRisk Fund C	024526196	AHACX		1.00	1.00	2.15000		SELL ONLY
American Beacon	American Beacon AHL TargetRisk Fund Investor Class	024526311	AHTPX			.00	1.41000		SELL ONLY
American Beacon	American Beacon AHL TargetRisk Fund R5 Class	024526329	AHTIX			.00	1.13000		SELL ONLY
American Beacon	American Beacon AHL TargetRisk Fund Y Class	024526337	AHTYX			.00	1.17000		SELL ONLY
American Beacon	American Beacon ARK Transformational Innovation Fund Class A	024526295	ADNAX	5.75		.25	1.50000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon ARK Transformational Innovation Fund Class C	024526287	ADNCX			1.00	1.00	2.30000	SELL ONLY
American Beacon	American Beacon ARK Transformational Innovation Fund Investor Class	024526204	ADNPX				.00	1.44000	SELL ONLY
American Beacon	American Beacon ARK Transformational Innovation Fund R5 Class	024526303	ADNIX				.00	1.13000	SELL ONLY
American Beacon	American Beacon ARK Transformational Innovation Fund Y Class	024526105	ADNYX				.00	1.17000	SELL ONLY
American Beacon	American Beacon Balanced Fund Advisor Class	02368A364	ABLSX				.25	1.36000	SELL ONLY
American Beacon	American Beacon Balanced Fund C Class	024524514	ABCCX			1.00	1.00	1.95000	SELL ONLY
American Beacon	American Beacon Balanced Fund Class A	024524753	ABFAX	5.75			.25	1.18000	SELL ONLY
American Beacon	American Beacon Balanced Fund Class Y	024524100	ACBYX				.00	0.94000	SELL ONLY
American Beacon	American Beacon Balanced Fund Investor Class	02368A828	AABPX				.00	1.18000	SELL ONLY
American Beacon	American Beacon Balanced Fund R5 Class	02368A109	AADBX				.00	0.85000	SELL ONLY
American Beacon	American Beacon Developing World Income Fund-A Class	024525743	AGUAX	4.75			.25	1.45000	SELL ONLY
American Beacon	American Beacon Developing World Income Fund-C Class	024525735	AGECX			1.00	1.00	2.18000	SELL ONLY
American Beacon	American Beacon Developing World Income Fund-Investor Class	024525693	AGEPX				.00	1.42000	SELL ONLY
American Beacon	American Beacon Developing World Income Fund-R5 Class	024525719	AGEIX				.00	1.10000	SELL ONLY
American Beacon	American Beacon Developing World Income Fund-Y Class	024525727	AGEYX				.00	1.16000	SELL ONLY
American Beacon	American Beacon FEAC Floating Rate Income Fund A Class	024525347	SOUAX	2.50			.25	1.29000	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon FEAC Floating Rate Income Fund C Class	024525339	SOUCX		1.00	1.00	2.04000		SELL ONLY
American Beacon	American Beacon FEAC Floating Rate Income Fund Investor Class	024525297	SPFPX			.00	1.34000		SELL ONLY
American Beacon	American Beacon FEAC Floating Rate Income Fund R5 Class	024525313	SPFLX			.00	1.01000		SELL ONLY
American Beacon	American Beacon FEAC Floating Rate Income Fund Y Class	024525321	SPFYX			.00	1.06000		SELL ONLY
American Beacon	American Beacon Garcia Hamilton Quality Bond Fund Investor Class	024525248	GHQPX			.00	1.10000		SELL ONLY
American Beacon	American Beacon Garcia Hamilton Quality Bond Fund R5 Class	024525255	GHQIX			.00	0.68000		SELL ONLY
American Beacon	American Beacon Garcia Hamilton Quality Bond Fund R6 Class	024526253	GHQRX			.00	0.67000		SELL ONLY
American Beacon	American Beacon Garcia Hamilton Quality Bond Fund Y Class	024525263	GHQYX			.00	0.77000		SELL ONLY
American Beacon	American Beacon IMC International Small Cap Fund Investor Class	024526378	TIVFX			.00	1.52000		SELL ONLY
American Beacon	American Beacon IMC International Small Cap Fund R5 Class	024526386	TOVIX			.00	1.22000		SELL ONLY
American Beacon	American Beacon IMC International Small Cap Fund Y Class	024526394	TOVYX			.00	1.28000		SELL ONLY
American Beacon	American Beacon International Equity Fund Advisor Class	02368A422	AAISX			.25	1.26000		SELL ONLY
American Beacon	American Beacon International Equity Fund Class A	024524720	AIEAX	5.75		.25	1.19000		SELL ONLY
American Beacon	American Beacon International Equity Fund Class C	024524464	AILCX		1.00	1.00	1.99000		SELL ONLY
American Beacon	American Beacon International Equity Fund Class R6	024526766	AAERX			.00	0.78000		SELL ONLY
American Beacon	American Beacon International Equity Fund Class Y	02368A190	ABEYX			.00	0.85000		SELL ONLY
American Beacon	American Beacon International Equity Fund Investor Class	02368A794	AAIPX			.00	1.11000		SELL ONLY
American Beacon	American Beacon International Equity Fund R5 Class	02368A406	AAIEX			.00	0.78000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon Large Cap Value Fund Advisor Class	02368A356	AVASX			.25	1.12000		SELL ONLY
American Beacon	American Beacon Large Cap Value Fund Class A	024524746	ALVAX	5.75		.25	1.01000		SELL ONLY
American Beacon	American Beacon Large Cap Value Fund Class C	024524498	ALVCX		1.00	1.00	1.73000		SELL ONLY
American Beacon	American Beacon Large Cap Value Fund Class R6	024526790	AALRX			.00	0.62000		SELL ONLY
American Beacon	American Beacon Large Cap Value Fund Class Y	02368A174	ABLYX			.00	0.73000		SELL ONLY
American Beacon	American Beacon Large Cap Value Fund Investor Class	02368A810	AAGPX			.00	0.95000		SELL ONLY
American Beacon	American Beacon Large Cap Value Fund R5 Class	02368A208	AADEX			.00	0.66000		SELL ONLY
American Beacon	American Beacon Man Large Cap Growth Fund A Class	024525412	BLYAX	5.75		.25	1.27000		SELL ONLY
American Beacon	American Beacon Man Large Cap Growth Fund C Class	024525396	BLYCX		1.00	1.00	2.02000		SELL ONLY
American Beacon	American Beacon Man Large Cap Growth Fund Class R6	024526436	BLYRX			.00	0.93000		SELL ONLY
American Beacon	American Beacon Man Large Cap Growth Fund Investor Class	024525362	BLYPX			.00	1.29000		SELL ONLY
American Beacon	American Beacon Man Large Cap Growth Fund R5 Class	024525370	BRLGX			.00	0.98000		SELL ONLY
American Beacon	American Beacon Man Large Cap Growth Fund Y Class	024525388	BLYYX			.00	1.04000		SELL ONLY
American Beacon	American Beacon Man Large Cap Value Fund A Class	024524159	BWLAX	5.75		.25	1.23000		SELL ONLY
American Beacon	American Beacon Man Large Cap Value Fund C Class	024524142	BWLCX		1.00	1.00	1.94000		SELL ONLY
American Beacon	American Beacon Man Large Cap Value Fund Investor Class	024524118	BWLIX			.00	1.18000		SELL ONLY
American Beacon	American Beacon Man Large Cap Value Fund R5 Class	024524126	BRLVX			.00	0.87000		SELL ONLY
American Beacon	American Beacon Man Large Cap Value Fund R6 Class	024526543	BWLRX			.00	0.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon Man Large Cap Value Fund Y Class	024524134	BWLYX			.00	0.94000		SELL ONLY
American Beacon	American Beacon Ninety One Emerging Markets Equity Fund R5 Class	02452A718	ZEMIX				1.09000		SELL ONLY
American Beacon	American Beacon Ninety One Emerging Markets Equity Fund R6 Class	02452A692	ZEMRX			.00	0.95000		SELL ONLY
American Beacon	American Beacon Ninety One Emerging Markets Equity Fund Y Class	02452A726	ZEMAX	5.75		.25	1.75000		SELL ONLY
American Beacon	American Beacon Ninety One Global Franchise Fund R5 Class	02452A767	ZGFIX			.00	0.87000		SELL ONLY
American Beacon	American Beacon Ninety One Global Franchise Fund Y Class	02452A783	ZGFAX			.00	0.94000		SELL ONLY
American Beacon	American Beacon Ninety One International Franchise Fund R5 Class	02452A734	ZIFIX			.00	6.33000		SELL ONLY
American Beacon	American Beacon Shapiro Equity Opportunities Fund Investor Class	024526519	SHXPX			.00	1.33000		SELL ONLY
American Beacon	American Beacon Shapiro Equity Opportunities Fund R5 Class	024526527	SHXIX			.00	0.87000		SELL ONLY
American Beacon	American Beacon Shapiro Equity Opportunities Fund Y Class	024526493	SHXYX			.00	0.95000		SELL ONLY
American Beacon	American Beacon Shapiro SMID Cap Equity Fund A Class	02452A866	SHEAX	5.75		.25	1.77000		SELL ONLY
American Beacon	American Beacon Shapiro SMID Cap Equity Fund C Class	02452A858	SHDCX			1.00	2.38000		SELL ONLY
American Beacon	American Beacon Shapiro SMID Cap Equity Fund Investor Class	024526469	SHDPX			.00	1.54000		SELL ONLY
American Beacon	American Beacon Shapiro SMID Cap Equity Fund R5 Class	024526477	SHDIX			.00	1.24000		SELL ONLY
American Beacon	American Beacon Shapiro SMID Cap Equity Fund R6 Class	02452A841	SHDRX			.00	1.21000		SELL ONLY
American Beacon	American Beacon Shapiro SMID Cap Equity Fund Y Class	024526485	SHDYX			.00	1.31000		SELL ONLY
American Beacon	American Beacon SiM High Yield Opportunities Fund A Class	024524324	SHOAX	4.75		.25	1.16000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon SiM High Yield Opportunities Fund C Class	024524316	SHOCX		1.00	1.00	1.89000		SELL ONLY
American Beacon	American Beacon SiM High Yield Opportunities Fund Investor Class	024524274	SHYPX			.00	1.18000		SELL ONLY
American Beacon	American Beacon SiM High Yield Opportunities Fund R5 Class	024524282	SHOIX			.00	0.83000		SELL ONLY
American Beacon	American Beacon SiM High Yield Opportunities Fund Y Class	024524290	SHOYX			.00	0.91000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund Advisor Class	02368A430	AASSX			.25	1.30000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund C Class	024524472	ASVCX		1.00	1.00	1.96000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund Class A	024524845	ABSAX	5.75		.25	1.22000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund Class R5	02368A638	AVFIX			.00	0.80000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund Class Y	02368A182	ABSYX			.00	0.87000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund Investor Class	02368A620	AVPAX			.00	1.15000		SELL ONLY
American Beacon	American Beacon Small Cap Value Fund R6 Class	024526774	AASRX			.00	0.77000		SELL ONLY
American Beacon	American Beacon SSI Alternative Income Fund R5 Class	024526246	SSIJX			.00	1.78000		SELL ONLY
American Beacon	American Beacon SSI Alternative Income Fund --Y Class	024526220	PSCIX			.00	1.88000		SELL ONLY
American Beacon	American Beacon SSI Alternative Income Fund--Investor Class	024526238	PSCAX			.00	2.22000		SELL ONLY
American Beacon	American Beacon Stephens Mid-Cap Growth Fund A Class	024524183	SMFAX	5.75		.25	1.41000		SELL ONLY
American Beacon	American Beacon Stephens Mid-Cap Growth Fund C Class	024524175	SMFCX		1.00	1.00	1.98000		SELL ONLY
American Beacon	American Beacon Stephens Mid-Cap Growth Fund Class R6	024526279	SFMRX			.00	0.90000		SELL ONLY
American Beacon	American Beacon Stephens Mid-Cap Growth Fund Investor Class	024524191	STMGX			.00	1.23000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon Stephens Mid-Cap Growth Fund R5 Class	024524217	SFMIX			.00	0.91000		SELL ONLY
American Beacon	American Beacon Stephens Mid-Cap Growth Fund Y Class	024524167	SMFYX			.00	1.00000		SELL ONLY
American Beacon	American Beacon Stephens Small Cap Growth Fund A Class	02368A166	SPWAX	5.75		.25	1.49000		SELL ONLY
American Beacon	American Beacon Stephens Small Cap Growth Fund C Class	02368A158	SPWCX		1.00	1.00	2.17000		SELL ONLY
American Beacon	American Beacon Stephens Small Cap Growth Fund Investor Class	02368A133	STSGX			.00	1.33000		SELL ONLY
American Beacon	American Beacon Stephens Small Cap Growth Fund R5 Class	02368A141	STSIX			.00	1.10000		SELL ONLY
American Beacon	American Beacon Stephens Small Cap Growth Fund R6	024526188	STSRX			.00	1.06000		SELL ONLY
American Beacon	American Beacon Stephens Small Cap Growth Fund Y Class	02368A125	SPWYX			.00	1.14000		SELL ONLY
American Beacon	American Beacon The London Company Income Equity Fund A Class	024527103	ABCAX	5.75		.25	1.07000		SELL ONLY
American Beacon	American Beacon The London Company Income Equity Fund C Class	024527202	ABECX		1.00	1.00	1.82000		SELL ONLY
American Beacon	American Beacon The London Company Income Equity Fund Investor Class	024527509	ABCVX			.00	1.06000		SELL ONLY
American Beacon	American Beacon The London Company Income Equity Fund R5 Class	024527400	ABCIX			.00	0.76000		SELL ONLY
American Beacon	American Beacon The London Company Income Equity Fund Y Class	024527301	ABCYX			.00	0.82000		SELL ONLY
American Beacon	American Beacon TwentyFour Strategic Income Fund A Class	024526428	TFSAX	3.75		.25	1.44000		SELL ONLY
American Beacon	American Beacon TwentyFour Strategic Income Fund C Class	024526410	TFGCX		1.00	1.00	1.98000		SELL ONLY
American Beacon	American Beacon TwentyFour Strategic Income Fund Investor Class	024526683	TFGPX			.00	1.32000		SELL ONLY
American Beacon	American Beacon TwentyFour Strategic Income Fund R5 Class	024526691	TFGIX			.00	0.94000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Beacon	American Beacon TwentyFour Strategic Income Fund Y Class	024526667	TFGYX			.00	1.00000		SELL ONLY
American Beacon	American Beacon TwentyFour Sustainable Short Term Bond Fund A Class	024526170	TFBAX	2.50		.25	2.72000		SELL ONLY
American Beacon	American Beacon TwentyFour Sustainable Short Term Bond Fund C Class	024526162	TFBCX		1.00	1.00	3.29000		SELL ONLY
American Beacon	American Beacon TwentyFour Sustainable Short Term Bond Fund R6 Class	024526147	TFBRX			.00	2.21000		SELL ONLY
American Beacon	American Beacon TwentyFour Sustainable Short Term Bond Fund Y Class	024526154	TFBYX			.00	2.36000		SELL ONLY
American Century Investments	American Century Balanced Fund I Class	025083734	ABINX				0.69000		SELL ONLY
American Century Investments	American Century Balanced Fund Investor Class	025083742	TWBIX				0.89000		SELL ONLY
American Century Investments	American Century Balanced Fund R5 Class	02508H394	ABGNX				0.69000		SELL ONLY
American Century Investments	American Century California High Yield Municipal Fund Class C	025075805	CAYCX		1.00	1.00	1.50000		SELL ONLY
American Century Investments	American Century California High Yield Municipal Fund I Class	025075789	BCHIX				0.30000		SELL ONLY
American Century Investments	American Century California High Yield Municipal Fund Investor Class	025075201	BCHYX				0.50000		SELL ONLY
American Century Investments	American Century California High Yield Municipal Fund Y Class	025075771	ACYHX				0.27000		SELL ONLY
American Century Investments	American Century California Intermediate-Term Tax-Free Bond Fund A Class	025075821	BCIAX	4.50		.25	0.72000		SELL ONLY
American Century Investments	American Century California Intermediate-Term Tax-Free Bond Fund C Class	025075813	BCIYX		1.00	1.00	1.47000		SELL ONLY
American Century Investments	American Century California Intermediate-Term Tax-Free Bond Fund I Class	025075839	BCTIX				0.27000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century California Intermediate-Term Tax-Free Bond Fund Investor Class	025075508	BCITX				0.47000		SELL ONLY
American Century Investments	American Century California Intermediate-Term Tax-Free Bond Fund Y Class	025075763	ACYTX				0.24000		SELL ONLY
American Century Investments	American Century Core Plus Fund Class A	024932543	ACCQX	4.50		.25	0.80000		SELL ONLY
American Century Investments	American Century Core Plus Fund Class C	024932527	ACCKX		1.00	1.00	1.55000		SELL ONLY
American Century Investments	American Century Core Plus Fund I Class	02508J101	ACCTX				0.45000		SELL ONLY
American Century Investments	American Century Core Plus Fund Investor Class	024932493	ACCNX				0.55000		SELL ONLY
American Century Investments	American Century Core Plus Fund R5 Class	024932485	ACCUX				0.35000		SELL ONLY
American Century Investments	American Century Disciplined Core Value Fund C Class	02507M816	ACGCX		1.00	1.00	1.66000		SELL ONLY
American Century Investments	American Century Disciplined Core Value Fund Class A	02507M402	AMADX	5.75		.25	0.91000		SELL ONLY
American Century Investments	American Century Disciplined Core Value Fund I Class	02507M501	AMGIX				0.46000		SELL ONLY
American Century Investments	American Century Disciplined Core Value Fund Investor Class	02507M303	BIGRX				0.66000		SELL ONLY
American Century Investments	American Century Disciplined Core Value Fund R5 Class	02508G842	AICGX				0.46000		SELL ONLY
American Century Investments	American Century Disciplined Growth Fund Class A	02507M642	ADCVX	5.75		.25	1.26000		SELL ONLY
American Century Investments	American Century Disciplined Growth Fund Class C	02507M527	ADCCX		1.00	1.00	2.01000		SELL ONLY
American Century Investments	American Century Disciplined Growth Fund Institutional Class	02507M667	ADCIX				0.81000		SELL ONLY
American Century Investments	American Century Disciplined Growth Fund Investor Class	02507M675	ADSIX				1.01000		SELL ONLY
American Century Investments	American Century Disciplined Growth Fund R5 Class	02508G883	ADGGX				0.81000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Disciplined Growth Fund Y Class	02508G875	ADCYX				0.76000		SELL ONLY
American Century Investments	American Century Diversified Bond Fund A Class	024932501	ADFAX	4.50		.25	0.85000		BUY,SELL
American Century Investments	American Century Diversified Bond Fund C Class	024932824	CDBCX		1.00	1.00	1.60000		SELL ONLY
American Century Investments	American Century Diversified Bond Fund I Class	024932600	ACBPX				0.40000		SELL ONLY
American Century Investments	American Century Diversified Bond Fund Investor Class	024932402	ADFIX				0.60000		SELL ONLY
American Century Investments	American Century Diversified Bond Fund R5 Class	02508J200	ADRVX				0.40000		SELL ONLY
American Century Investments	American Century Diversified Bond Fund Y Class	02508J309	ADVYX				0.37000		SELL ONLY
American Century Investments	American Century Emerging Markets Debt Fund A Class	025082819	AEDQX	4.50		.25	1.23000		SELL ONLY
American Century Investments	American Century Emerging Markets Debt Fund C Class	025082793	AEDHX		1.00	1.00	1.98000		SELL ONLY
American Century Investments	American Century Emerging Markets Debt Fund I Class	025082769	AEHDX				0.88000		SELL ONLY
American Century Investments	American Century Emerging Markets Debt Fund Investor Class	025082835	AEDVX				0.98000		SELL ONLY
American Century Investments	American Century Emerging Markets Debt Fund R5 Class	025082827	AEDJX				0.78000		SELL ONLY
American Century Investments	American Century Emerging Markets Debt Fund Y Class	025082751	AEYDX				0.78000		SELL ONLY
American Century Investments	American Century Emerging Markets Fund A Class	025086851	AEMMX	5.75		.25	1.52000		SELL ONLY
American Century Investments	American Century Emerging Markets Fund C Class	025086679	ACECX		1.00	1.00	2.27000		SELL ONLY
American Century Investments	American Century Emerging Markets Fund I Class	025086877	AMKIX				1.07000		SELL ONLY
American Century Investments	American Century Emerging Markets Fund Investor Class	025086885	TWMIX				1.27000		SELL ONLY
American Century Investments	American Century Emerging Markets Fund R5 Class	02509A802	AEGMX				1.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Emerging Markets Fund Y Class	02509A885	AEYMX				0.92000		SELL ONLY
American Century Investments	American Century Emerging Markets Small Cap Fund A Class	025086265	AECLX	5.75		.25	1.65000		SELL ONLY
American Century Investments	American Century Emerging Markets Small Cap Fund C Class	025086257	AECHX		1.00	1.00	2.40000		SELL ONLY
American Century Investments	American Century Emerging Markets Small Cap Fund I Class	025086273	AEC SX				1.20000		SELL ONLY
American Century Investments	American Century Emerging Markets Small Cap Fund Investor Class	025086281	AECVX				1.40000		SELL ONLY
American Century Investments	American Century Equity Growth Fund A Class	02507M709	BEQAX	5.75		.25	0.91000		SELL ONLY
American Century Investments	American Century Equity Growth Fund C Class	02507M790	AEYCX		1.00	1.00	1.66000		SELL ONLY
American Century Investments	American Century Equity Growth Fund I Class	02507M808	AMEIX				0.46000		SELL ONLY
American Century Investments	American Century Equity Growth Fund Investor Class	02507M600	BEQGX				0.66000		SELL ONLY
American Century Investments	American Century Equity Growth Fund R5 Class	02508G867	AEYGX				0.46000		SELL ONLY
American Century Investments	American Century Equity Income Fund A Class	025076407	TWEAX	5.75		.25	1.18000		BUY,SELL
American Century Investments	American Century Equity Income Fund C Class	025076746	AEYIX		1.00	1.00	1.93000		SELL ONLY
American Century Investments	American Century Equity Income Fund I Class	025076209	ACIIX				0.73000		SELL ONLY
American Century Investments	American Century Equity Income Fund Investor Class	025076100	TWEIX				0.93000		SELL ONLY
American Century Investments	American Century Equity Income Fund R5 Class	02508F703	AEIUX				0.73000		SELL ONLY
American Century Investments	American Century Equity Income Fund Y Class	02508F810	AEIYX				0.58000		SELL ONLY
American Century Investments	American Century Focused Global Growth Fund A Class	025086828	AGGRX	5.75		.25	1.34000		SELL ONLY
American Century Investments	American Century Focused Global Growth Fund C Class	025086695	AGLCX		1.00	1.00	2.09000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Focused Global Growth Fund I Class	025086836	AGGIX				0.89000		SELL ONLY
American Century Investments	American Century Focused Global Growth Fund Investor Class	025086844	TWGGX				1.09000		SELL ONLY
American Century Investments	American Century Focused Global Growth Fund R5 Class	02509A869	AGFGX				0.89000		SELL ONLY
American Century Investments	American Century Focused Global Growth Fund Y Class	02509A844	AGYGX				0.74000		SELL ONLY
American Century Investments	American Century Focused International Growth Fund A Class	025086190	AFCLX	5.75		.25	1.34000		SELL ONLY
American Century Investments	American Century Focused International Growth Fund C Class	025086182	AFCHX		1.00	1.00	2.09000		SELL ONLY
American Century Investments	American Century Focused International Growth Fund I Class	025086216	AFCSX				0.89000		SELL ONLY
American Century Investments	American Century Focused International Growth Fund Investor Class	025086224	AFCNX				1.09000		SELL ONLY
American Century Investments	American Century Ginnie Mae Fund A Class	025081837	BGNAX	4.50		.25	0.80000		SELL ONLY
American Century Investments	American Century Ginnie Mae Fund I Class	025081654	AGMHX				0.45000		SELL ONLY
American Century Investments	American Century Ginnie Mae Fund Investor Class	025081605	BGNMX				0.55000		SELL ONLY
American Century Investments	American Century Ginnie Mae Fund R5 Class	025081787	AGMNX				0.35000		SELL ONLY
American Century Investments	American Century Global Bond Fund A Class	025082702	AGBAX	4.50		.25	1.10000		SELL ONLY
American Century Investments	American Century Global Bond Fund C Class	025082801	AGBTX		1.00	1.00	1.85000		SELL ONLY
American Century Investments	American Century Global Bond Fund I Class	025082744	AGBHX				0.75000		SELL ONLY
American Century Investments	American Century Global Bond Fund Investor Class	025082876	AGBVX				0.85000		SELL ONLY
American Century Investments	American Century Global Bond Fund R5 Class	025082868	AGBNX				0.65000		SELL ONLY
American Century Investments	American Century Global Bond Fund Y Class	025082736	AGBW X				0.65000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Global Gold Fund A Class	02507M204	ACGGX	5.75		.25	0.91000		SELL ONLY
American Century Investments	American Century Global Gold Fund C Class	02507M485	AGYCX		1.00	1.00	1.66000		SELL ONLY
American Century Investments	American Century Global Gold Fund I Class	02507M469	AGGNX				0.46000		SELL ONLY
American Century Investments	American Century Global Gold Fund Investor Class	02507M105	BGEIX				0.66000		SELL ONLY
American Century Investments	American Century Global Real Estate Fund A Class	025076498	ARYMX	5.75		.25	1.37000		SELL ONLY
American Century Investments	American Century Global Real Estate Fund C Class	025076480	ARYTX		1.00	1.00	2.12000		SELL ONLY
American Century Investments	American Century Global Real Estate Fund I Class	025076456	ARYNX				0.92000		SELL ONLY
American Century Investments	American Century Global Real Estate Fund Investor Class	025076464	ARYVX				1.12000		SELL ONLY
American Century Investments	American Century Global Real Estate Fund R5 Class	02508F851	ARYGX				0.92000		SELL ONLY
American Century Investments	American Century Global Real Estate Fund Y Class	02508F844	ARYYX				0.77000		SELL ONLY
American Century Investments	American Century Global Small Cap Fund A Class	02509A307	AGCLX	5.75		.25	1.36000		SELL ONLY
American Century Investments	American Century Global Small Cap Fund C Class	02509A406	AGCHX		1.00	1.00	2.11000		SELL ONLY
American Century Investments	American Century Global Small Cap Fund I Class	02509A208	AGCSX				0.91000		SELL ONLY
American Century Investments	American Century Global Small Cap Fund Investor Class	02509A109	AGCVX				1.11000		SELL ONLY
American Century Investments	American Century Government Bond Fund A Class	025081860	ABTAX	4.50		.25	0.72000		SELL ONLY
American Century Investments	American Century Government Bond Fund C Class	025081746	ABTCX		1.00	1.00	1.47000		SELL ONLY
American Century Investments	American Century Government Bond Fund I Class	025081647	ABHTX				0.37000		SELL ONLY
American Century Investments	American Century Government Bond Fund Investor Class	025081308	CPTNX				0.47000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Government Bond Fund R5 Class	025081753	ABTIX				0.27000		SELL ONLY
American Century Investments	American Century Growth Fund A Class	025083403	TCRAX	5.75		.25	1.22000		SELL ONLY
American Century Investments	American Century Growth Fund C Class	02508H626	TWRCX		1.00	1.00	1.97000		SELL ONLY
American Century Investments	American Century Growth Fund I Class	025083205	TWGIX				0.77000		SELL ONLY
American Century Investments	American Century Growth Fund Investor Class	025083106	TWCGX				0.97000		SELL ONLY
American Century Investments	American Century Growth Fund R5 Class	02508H386	AGWUX				0.77000		SELL ONLY
American Century Investments	American Century Growth Fund Y Class	02508H378	AGYW X				0.62000		SELL ONLY
American Century Investments	American Century Heritage Fund A Class	025083767	ATHAX	5.75		.25	1.25000		SELL ONLY
American Century Investments	American Century Heritage Fund C Class	025083262	AHGCX		1.00	1.00	2.00000		SELL ONLY
American Century Investments	American Century Heritage Fund I Class	025083783	ATHIX				0.80000		SELL ONLY
American Century Investments	American Century Heritage Fund Investor Class	025083791	TWHIX				1.00000		SELL ONLY
American Century Investments	American Century Heritage Fund R5 Class	02508H360	ATHGX				0.80000		SELL ONLY
American Century Investments	American Century Heritage Fund Y Class	02508H352	ATHYX				0.65000		SELL ONLY
American Century Investments	American Century High Income Fund A Class	024932147	AHIAX	4.50		.25	1.04000		SELL ONLY
American Century Investments	American Century High Income Fund I Class	024932162	AHIIX				0.69000		SELL ONLY
American Century Investments	American Century High Income Fund Investor Class	024932170	AHIVX				0.79000		SELL ONLY
American Century Investments	American Century High Income Fund R5 Class	024932139	AHIEX				0.59000		SELL ONLY
American Century Investments	American Century High Income Fund Y Class	024932154	NPHIX				0.59000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century High Yield Municipal Fund Class A	024934861	AYMAX	4.50		.25	0.86000		SELL ONLY
American Century Investments	American Century High Yield Municipal Fund Class C	024934879	AYMCX		1.00	1.00	1.61000		SELL ONLY
American Century Investments	American Century High Yield Municipal Fund I Class	024934663	AYMIX				0.41000		SELL ONLY
American Century Investments	American Century High Yield Municipal Fund Investor Class	024934804	ABHYX				0.61000		SELL ONLY
American Century Investments	American Century High-Yield Fund A Class	024932881	AHYVX	4.50		.25	1.05000		SELL ONLY
American Century Investments	American Century High-Yield Fund C Class	024932873	AHDCX		1.00	1.00	1.80000		SELL ONLY
American Century Investments	American Century High-Yield Fund I Class	02508J507	AHYHX				0.70000		SELL ONLY
American Century Investments	American Century High-Yield Fund Investor Class	024932808	ABHIX				0.80000		SELL ONLY
American Century Investments	American Century High-Yield Fund R5 Class	024932782	ACYIX				0.60000		SELL ONLY
American Century Investments	American Century High-Yield Fund Y Class	02508J606	AHYLX				0.60000		SELL ONLY
American Century Investments	American Century High-Yield Municipal Fund Y Class	024934622	AYMYX				0.38000		SELL ONLY
American Century Investments	American Century Inflation Adjusted Bond Fund A Class	025081829	AIAVX	4.50		.25	0.79000		SELL ONLY
American Century Investments	American Century Inflation Adjusted Bond Fund C Class	025081720	AINOX		1.00	1.00	1.54000		SELL ONLY
American Century Investments	American Century Inflation Adjusted Bond Fund I Class	025081639	AIAHX				0.44000		SELL ONLY
American Century Investments	American Century Inflation Adjusted Bond Fund Investor Class	025081704	ACITX				0.54000		SELL ONLY
American Century Investments	American Century Inflation Adjusted Bond Fund R5 Class	025081795	AIANX				0.34000		SELL ONLY
American Century Investments	American Century Inflation Adjusted Bond Fund Y Class	025081621	AIAYX				0.34000		SELL ONLY
American Century Investments	American Century Intermediate Term Tax-Free Bond Fund Class C	024934630	TWTCX		1.00	1.00	1.47000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Intermediate Term Tax-Free Bond Fund I Class	024934846	AXBIX				0.27000		SELL ONLY
American Century Investments	American Century Intermediate Term Tax-Free Bond Fund Investor Class	024934507	TWTIX				0.47000		SELL ONLY
American Century Investments	American Century Intermediate-Term Tax-Free Bond Fund Y Class	024934614	ATBYX				0.24000		SELL ONLY
American Century Investments	American Century International Growth Fund A Class	025086406	TWGAX	5.75		.25	1.47000		SELL ONLY
American Century Investments	American Century International Growth Fund C Class	025086687	AIWCX		1.00	1.00	2.22000		SELL ONLY
American Century Investments	American Century International Growth Fund I Class	025086208	TGRIX				1.02000		SELL ONLY
American Century Investments	American Century International Growth Fund Investor Class	025086109	TWIEX				1.22000		SELL ONLY
American Century Investments	American Century International Growth Fund R5 Class	02509A810	ATGGX				1.02000		SELL ONLY
American Century Investments	American Century International Growth Fund Y Class	02509A703	ATYGX				0.87000		SELL ONLY
American Century Investments	American Century International Opportunities Fund Class A	025086455	AIVOX	5.75		.25	1.74000		SELL ONLY
American Century Investments	American Century International Opportunities Fund Class C	025086448	AIOCX		1.00	1.00	2.49000		SELL ONLY
American Century Investments	American Century International Opportunities Fund I Class	025086737	ACIOX				1.29000		SELL ONLY
American Century Investments	American Century International Opportunities Fund Investor Class	025086745	AIOIX				1.49000		SELL ONLY
American Century Investments	American Century International Value Fund A Class	025086562	MEQAX	5.75		.25	1.36000		SELL ONLY
American Century Investments	American Century International Value Fund C Class	025086547	ACCOX		1.00	1.00	2.11000		SELL ONLY
American Century Investments	American Century International Value Fund I Class	025086570	ACVUX				0.91000		SELL ONLY
American Century Investments	American Century International Value Fund Investor Class	025086588	ACEVX				1.11000		SELL ONLY
American Century Investments	American Century Investments Focused Dynamic Growth Fund A Class	02507H700	ACFDX	5.75		.25	1.11000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Investments Focused Dynamic Growth Fund I Class	02507H601	ACFSX				0.66000		SELL ONLY
American Century Investments	American Century Investments Focused Dynamic Growth Fund Investor Class	02507H502	ACFOX				0.86000		SELL ONLY
American Century Investments	American Century Investments Ginnie Mae Fund C Class	025081761	BGNCX		1.00	1.00	1.55000		SELL ONLY
American Century Investments	American Century Investments One Choice 2025 Portfolio A Class	02507F605	ARWAX	5.75		.25	1.05000		BUY,SELL
American Century Investments	American Century Investments One Choice 2025 Portfolio C Class	02507F498	ARWCX		1.00	1.00	1.80000		SELL ONLY
American Century Investments	American Century Investments One Choice 2025 Portfolio I Class	02507F704	ARWFX				0.62000		SELL ONLY
American Century Investments	American Century Investments One Choice 2025 Portfolio Investor Class	02507F506	ARWIX				0.80000		SELL ONLY
American Century Investments	American Century Investments One Choice 2030 Portfolio A Class	02507F621	ARCMX	5.75		.25	1.07000		BUY,SELL
American Century Investments	American Century Investments One Choice 2030 Portfolio C Class	02507F480	ARWOX		1.00	1.00	1.82000		SELL ONLY
American Century Investments	American Century Investments One Choice 2030 Portfolio I Class	02507F647	ARCSX				0.64000		SELL ONLY
American Century Investments	American Century Investments One Choice 2030 Portfolio Investor Class	02507F654	ARCVX				0.82000		SELL ONLY
American Century Investments	American Century Investments One Choice 2035 Portfolio A Class	02507F878	ARYAX	5.75		.25	1.10000		BUY,SELL
American Century Investments	American Century Investments One Choice 2035 Portfolio C Class	02507F472	ARLCX		1.00	1.00	1.85000		SELL ONLY
American Century Investments	American Century Investments One Choice 2035 Portfolio I Class	02507F860	ARLIX				0.66000		SELL ONLY
American Century Investments	American Century Investments One Choice 2035 Portfolio Investor Class	02507F886	ARYIX				0.85000		SELL ONLY
American Century Investments	American Century Investments One Choice 2040 Portfolio A Class	02507F571	ARDMX	5.75		.25	1.13000		BUY,SELL
American Century Investments	American Century Investments One Choice 2040 Portfolio C Class	02507F464	ARNOX		1.00	1.00	1.88000		SELL ONLY
American Century Investments	American Century Investments One Choice 2040 Portfolio I Class	02507F597	ARDSX				0.68000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Investments One Choice 2040 Portfolio Investor Class	02507F613	ARVDX				0.88000		SELL ONLY
American Century Investments	American Century Investments One Choice 2045 Portfolio A Class	02507F837	AROAX	5.75		.25	1.15000		BUY,SELL
American Century Investments	American Century Investments One Choice 2045 Portfolio C Class	02507F456	AROCX		1.00	1.00	1.90000		SELL ONLY
American Century Investments	American Century Investments One Choice 2045 Portfolio I Class	02507F829	AOOIX				0.71000		SELL ONLY
American Century Investments	American Century Investments One Choice 2045 Portfolio Investor Class	02507F845	AROIX				0.90000		SELL ONLY
American Century Investments	American Century Investments One Choice 2050 Portfolio A Class	02507F530	ARFMX	5.75		.25	1.17000		BUY,SELL
American Century Investments	American Century Investments One Choice 2050 Portfolio C Class	02507F449	ARFDX		1.00	1.00	1.92000		SELL ONLY
American Century Investments	American Century Investments One Choice 2050 Portfolio I Class	02507F555	ARFSX				0.73000		SELL ONLY
American Century Investments	American Century Investments One Choice 2050 Portfolio Investor Class	02507F563	ARFVX				0.92000		SELL ONLY
American Century Investments	American Century Investments One Choice 2055 Portfolio A Class	02507F399	AREMX	5.75		.25	1.18000		BUY,SELL
American Century Investments	American Century Investments One Choice 2055 Portfolio C Class	02507F381	AREFX		1.00	1.00	1.93000		SELL ONLY
American Century Investments	American Century Investments One Choice 2055 Portfolio I Class	02507F415	ARENX				0.73000		SELL ONLY
American Century Investments	American Century Investments One Choice 2055 Portfolio Investor Class	02507F423	AREVX				0.93000		SELL ONLY
American Century Investments	American Century Investments One Choice 2060 Portfolio A Class	02507F167	ARGMX	5.75		.25	1.19000		SELL ONLY
American Century Investments	American Century Investments One Choice 2060 Portfolio C Class	02507F159	ARGHX		1.00	1.00	1.94000		SELL ONLY
American Century Investments	American Century Investments One Choice 2060 Portfolio I Class	02507F183	ARGNX				0.74000		SELL ONLY
American Century Investments	American Century Investments One Choice 2060 Portfolio Investor Class	02507F191	ARGVX				0.94000		SELL ONLY
American Century Investments	American Century Investments One Choice 2065 Portfolio A Class	02507J847	ARHMX	5.75		.25	1.20000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Investments One Choice 2065 Portfolio C Class	02507J839	ARHEX		1.00	1.00	1.95000		SELL ONLY
American Century Investments	American Century Investments One Choice 2065 Portfolio I Class	02507J854	ARHUX				0.75000		SELL ONLY
American Century Investments	American Century Investments One Choice 2065 Portfolio Investor Class	02507J862	ARHVX				0.95000		SELL ONLY
American Century Investments	American Century Investments One Choice In Retirement Portfolio A Class	02507F787	ARTAX	5.75		.25	1.05000		BUY,SELL
American Century Investments	American Century Investments One Choice In Retirement Portfolio C Class	02507F431	ATTCX		1.00	1.00	1.80000		SELL ONLY
American Century Investments	American Century Investments One Choice In Retirement Portfolio I Class	02507F779	ATTIX				0.62000		SELL ONLY
American Century Investments	American Century Investments One Choice In Retirement Portfolio Investor Class	02507F795	ARTOX				0.80000		SELL ONLY
American Century Investments	American Century Investments One Choice Portfolio?: Aggressive Investor Class	02507F720	AOGIX				0.93000		SELL ONLY
American Century Investments	American Century Investments One Choice Portfolio?: Conservative Investor Class	02507F746	AOCIX				0.81000		SELL ONLY
American Century Investments	American Century Investments One Choice Portfolio?: Moderate Investor Class	02507F738	AOMIX				0.87000		SELL ONLY
American Century Investments	American Century Investments One Choice Portfolio?: Very Aggressive Investor Class	02507F712	AOVIX				1.03000		SELL ONLY
American Century Investments	American Century Investments One Choice Portfolio?: Very Conservative Investor Class	02507F753	AONIX				0.72000		SELL ONLY
American Century Investments	American Century Investments? Focused Large Cap Value Fund A Class	025076787	ALPAX	5.75		.25	1.09000		SELL ONLY
American Century Investments	American Century Investments? Focused Large Cap Value Fund C Class	025076738	ALPCX		1.00	1.00	1.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Investments? Focused Large Cap Value Fund I Class	025076779	ALVSX				0.64000		SELL ONLY
American Century Investments	American Century Investments? Focused Large Cap Value Fund Investor Class	025076795	ALVIX				0.84000		SELL ONLY
American Century Investments	American Century Investments? Focused Large Cap Value Fund R5 Class	02508F786	ALVGX				0.64000		SELL ONLY
American Century Investments	American Century Large Cap Equity Fund - Class A	025083130	AFDAX	5.75		.25	1.04000		BUY,SELL
American Century Investments	American Century Large Cap Equity Fund - Class I	02508H709	AFEIX				0.59000		SELL ONLY
American Century Investments	American Century Large Cap Equity Fund - Class Investor	02508H600	AFDIX				0.79000		SELL ONLY
American Century Investments	American Century Large Cap Equity Fund - Class R5	02508H295	AFDGX				0.59000		SELL ONLY
American Century Investments	American Century Large Cap Equity Fund C Class	025083114	AFDCX		1.00	1.00	1.79000		SELL ONLY
American Century Investments	American Century Large Cap Equity Fund Y Class	02508H287	AFYDX				0.44000		SELL ONLY
American Century Investments	American Century Mid Cap Value Fund A Class	025076639	ACLAX	5.75		.25	1.23000		SELL ONLY
American Century Investments	American Century Mid Cap Value Fund C Class	025076514	ACCLX		1.00	1.00	1.98000		SELL ONLY
American Century Investments	American Century Mid Cap Value Fund I Class	025076647	AVUAX				0.78000		SELL ONLY
American Century Investments	American Century Mid Cap Value Fund Investor Class	025076654	ACMVX				0.98000		SELL ONLY
American Century Investments	American Century Mid Cap Value Fund R5 Class	02508F778	AMVGX				0.78000		SELL ONLY
American Century Investments	American Century Mid Cap Value Fund Y Class	02508F760	AMVYX				0.63000		SELL ONLY
American Century Investments	American Century Multisector Income Fund A Class	024932360	ASIQX	4.50		.25	0.81000		SELL ONLY
American Century Investments	American Century Multisector Income Fund C Class	024932352	ASIHX		1.00	1.00	1.56000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Multisector Income Fund I Class	02508J853	ASIGX				0.46000		SELL ONLY
American Century Investments	American Century Multisector Income Fund Investor Class	024932329	ASIEX				0.56000		SELL ONLY
American Century Investments	American Century Multisector Income Fund R5 Class	024932311	ASIJX				0.36000		SELL ONLY
American Century Investments	American Century Multisector Income Fund Y Class	02508J846	ASYIX				0.36000		SELL ONLY
American Century Investments	American Century Non-U.S. IntrinsicValue Fund A Class	02509A778	ANVLX	5.75		.25	1.44000		SELL ONLY
American Century Investments	American Century Non-U.S. IntrinsicValue Fund I Class	02509A786	ANVHX				0.99000		SELL ONLY
American Century Investments	American Century Non-U.S. IntrinsicValue Fund Investor Class	025086158	ANTUX				1.19000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2020 Portfolio A Class	02507J722	AABEX	5.75		.25	0.87000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2020 Portfolio I Class	02507J730	AAAOX				0.42000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2020 Portfolio Investor Class	02507J748	AAAMX				0.62000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2025 Portfolio A Class	02507J664	AABQX	5.75		.25	0.86000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2025 Portfolio I Class	02507J672	AABKX				0.41000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2025 Portfolio Investor Class	02507J680	AABJX				0.61000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2030 Portfolio A Class	02507J615	AABZX	5.75		.25	0.86000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2030 Portfolio I Class	02507J623	AAEWX				0.41000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2030 Portfolio Investor Class	02507J631	AABWX				0.61000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2035 Portfolio A Class	02507J557	AACMX	5.75		.25	0.85000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2035 Portfolio I Class	02507J565	AACLX				0.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century One Choice Blend+ 2035 Portfolio Investor Class	02507J573	AACKX				0.60000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2040 Portfolio A Class	02507J490	AACVX	5.75		.25	0.84000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2040 Portfolio I Class	02507J516	AACUX				0.39000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2040 Portfolio Investor Class	02507J524	AACSX				0.59000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2045 Portfolio A Class	02507J441	AADKX	5.75		.25	0.84000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2045 Portfolio I Class	02507J458	AADJX				0.39000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2045 Portfolio Investor Class	02507J466	AADHX				0.59000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2050 Portfolio A Class	02507J383	AADPX	5.75		.25	0.84000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2050 Portfolio I Class	02507J391	AADOX				0.39000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2050 Portfolio Investor Class	02507J417	AADNX				0.59000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2055 Portfolio A Class	02507J334	AADZX	5.75		.25	0.84000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2055 Portfolio I Class	02507J342	AADWX				0.39000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2055 Portfolio Investor Class	02507J359	AADVX				0.59000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2060 Portfolio A Class	02507J276	AAEHX	5.75		.25	0.84000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2060 Portfolio I Class	02507J284	AAEGX				0.39000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2060 Portfolio Investor Class	02507J292	AAEFX				0.59000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2065 Portfolio A Class	02507J227	AAEOX	5.75		.25	0.84000		SELL ONLY
American Century Investments	American Century One Choice Blend+ 2065 Portfolio I Class	02507J235	AAELX				0.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century One Choice Blend+ 2065 Portfolio Investor Class	02507J243	AAEKX				0.59000		SELL ONLY
American Century Investments	American Century Real Estate Fund A Class	025076860	AREEX	5.75		.25	1.40000		SELL ONLY
American Century Investments	American Century Real Estate Fund C Class	025076555	ARYCX		1.00	1.00	2.15000		SELL ONLY
American Century Investments	American Century Real Estate Fund I Class	025076878	REAIX				0.95000		SELL ONLY
American Century Investments	American Century Real Estate Fund Investor Class	025076886	REACX				1.15000		SELL ONLY
American Century Investments	American Century Real Estate Fund R5 Class	02508F836	ARREX				0.95000		SELL ONLY
American Century Investments	American Century Real Estate Fund Y Class	02508F828	ARYEX				0.80000		SELL ONLY
American Century Investments	American Century Select Fund A Class	025083809	TWCAX	5.75		.25	1.23000		SELL ONLY
American Century Investments	American Century Select Fund C Class	025083239	ACSLX		1.00	1.00	1.98000		SELL ONLY
American Century Investments	American Century Select Fund I Class	025083601	TWSIX				0.78000		SELL ONLY
American Century Investments	American Century Select Fund Investor Class	025083502	TWCIX				0.98000		SELL ONLY
American Century Investments	American Century Select Fund R5 Class	02508H345	ASLGX				0.78000		SELL ONLY
American Century Investments	American Century Select Fund Y Class	02508H337	ASLWX				0.63000		SELL ONLY
American Century Investments	American Century Short Duration Fund A Class	024932477	ACSQX	2.25		.25	0.82000		SELL ONLY
American Century Investments	American Century Short Duration Fund C Class	024932451	ACSKX		1.00	1.00	1.57000		SELL ONLY
American Century Investments	American Century Short Duration Fund I Class	02508J705	ASHHX				0.47000		SELL ONLY
American Century Investments	American Century Short Duration Fund Investor Class	024932436	ACSNX				0.57000		SELL ONLY
American Century Investments	American Century Short Duration Fund R5 Class	024932428	ACSUX				0.37000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Short Duration Inflation Protection Bond Fund A Class	024932758	APOAX	2.25		.25	0.95000		SELL ONLY
American Century Investments	American Century Short Duration Inflation Protection Bond Fund C Class	024932733	APOCX		1.00	1.00	1.70000		SELL ONLY
American Century Investments	American Century Short Duration Inflation Protection Bond Fund I Class	02508J804	APOHX				0.60000		SELL ONLY
American Century Investments	American Century Short Duration Inflation Protection Bond Fund Investor Class	024932774	APOIX				0.70000		SELL ONLY
American Century Investments	American Century Short Duration Inflation Protection Bond Fund R5 Class	024932766	APISX				0.50000		SELL ONLY
American Century Investments	American Century Short Duration Inflation Protection Bond Fund Y Class	02508J887	APOYX				0.50000		SELL ONLY
American Century Investments	American Century Short Duration Strategic Income Fund A Class	024932295	ASADX	2.25		.25	0.77000		SELL ONLY
American Century Investments	American Century Short Duration Strategic Income Fund C Class	024932287	ASCDX		1.00	1.00	1.52000		SELL ONLY
American Century Investments	American Century Short Duration Strategic Income Fund I Class	02508J879	ASDHX				0.42000		SELL ONLY
American Century Investments	American Century Short Duration Strategic Income Fund Investor Class	024932253	ASDVX				0.52000		SELL ONLY
American Century Investments	American Century Short Duration Strategic Income Fund R5 Class	024932246	ASDJX				0.32000		SELL ONLY
American Century Investments	American Century Short Duration Strategic Income Fund Y Class	02508J861	ASYDX				0.32000		SELL ONLY
American Century Investments	American Century Short-Term Government Fund A Class	025081845	TWAVX	2.25		.25	0.80000		SELL ONLY
American Century Investments	American Century Short-Term Government Fund C Class	025081696	TWACX		1.00	1.00	1.55000		SELL ONLY
American Century Investments	American Century Short-Term Government Fund I Class	025081662	ASGHX				0.45000		SELL ONLY
American Century Investments	American Century Short-Term Government Fund Investor Class	025081506	TWUSX				0.55000		SELL ONLY
American Century Investments	American Century Short-Term Government Fund R5 Class	025081670	TWUOX				0.35000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Small Cap Dividend Fund A Class	02508F653	AMAHX	5.75		.25	1.39000		SELL ONLY
American Century Investments	American Century Small Cap Dividend Fund I Class	02508F661	AMAFX				0.94000		SELL ONLY
American Century Investments	American Century Small Cap Dividend Fund Investor Class	02508F679	AMAEX				1.14000		SELL ONLY
American Century Investments	American Century Small Cap Growth Fund A Class	025083221	ANOAX	5.75		.25	1.39000		SELL ONLY
American Century Investments	American Century Small Cap Growth Fund C Class	025083197	ANOCX		1.00	1.00	2.14000		SELL ONLY
American Century Investments	American Century Small Cap Growth Fund I Class	025083320	ANONX				0.94000		SELL ONLY
American Century Investments	American Century Small Cap Growth Fund Investor Class	025083338	ANOIX				1.14000		SELL ONLY
American Century Investments	American Century Small Cap Growth Fund R5 Class	02508H329	ANOGX				0.94000		SELL ONLY
American Century Investments	American Century Small Cap Growth Fund Y Class	02508H311	ANOYX				0.79000		SELL ONLY
American Century Investments	American Century Small Cap Value Fund A Class	025076837	ACSCX	5.75		.25	1.34000		SELL ONLY
American Century Investments	American Century Small Cap Value Fund C Class	025076530	ASVNX		1.00	1.00	2.09000		SELL ONLY
American Century Investments	American Century Small Cap Value Fund I Class	025076845	ACVIX				0.89000		SELL ONLY
American Century Investments	American Century Small Cap Value Fund Investor Class	025076852	ASVIX				1.09000		SELL ONLY
American Century Investments	American Century Small Cap Value Fund R5 Class	02508F752	ASVGX				0.89000		SELL ONLY
American Century Investments	American Century Small Cap Value Fund Y Class	02508F745	ASVYX				0.74000		SELL ONLY
American Century Investments	American Century Small Company Fund A Class	02507M824	ASQAX	5.75		.25	1.11000		SELL ONLY
American Century Investments	American Century Small Company Fund C Class	02507M329	ASQCX		1.00	1.00	1.86000		SELL ONLY
American Century Investments	American Century Small Company Fund I Class	02507M832	ASCQX				0.66000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Small Company Fund Investor Class	02507M840	ASQIX				0.86000		SELL ONLY
American Century Investments	American Century Small Company Fund R5 Class	02508G826	ASQGX				0.66000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Aggressive Fund A Class	025085887	ACVAX	5.75		.25	1.59000		BUY,SELL
American Century Investments	American Century Strategic Allocation: Aggressive Fund C Class	025085838	ASTAX		1.00	1.00	2.34000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Aggressive Fund I Class	025085853	AAAIX				1.14000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Aggressive Fund Investor Class	025085705	TWSAX				1.34000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Aggressive Fund R5 Class	025085499	ASAX				1.14000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Conservative Fund A Class	025085309	ACCAX	5.75		.25	1.38000		BUY,SELL
American Century Investments	American Century Strategic Allocation: Conservative Fund C Class	025085739	AACCX		1.00	1.00	2.13000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Conservative Fund I Class	025085879	ACCIX				0.93000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Conservative Fund Investor Class	025085101	TWSCX				1.13000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Conservative Fund R5 Class	025085523	AACGX				0.93000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Moderate Fund A Class	025085606	ACOAX	5.75		.25	1.51000		BUY,SELL
American Century Investments	American Century Strategic Allocation: Moderate Fund C Class	025085846	ASTCX		1.00	1.00	2.26000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Moderate Fund I Class	025085861	ASAMX				1.06000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Moderate Fund Investor Class	025085408	TWSM X				1.26000		SELL ONLY
American Century Investments	American Century Strategic Allocation: Moderate Fund R5 Class	025085515	ASMUX				1.06000		SELL ONLY
American Century Investments	American Century Ultra? Fund A Class	025083858	TWUAX	5.75		.25	1.17000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Century Investments	American Century Ultra? Fund C Class	025083288	TWCCX		1.00	1.00	1.92000		SELL ONLY
American Century Investments	American Century Ultra? Fund I Class	025083874	TWUIX				0.72000		SELL ONLY
American Century Investments	American Century Ultra? Fund Investor Class	025083882	TWCUX				0.92000		SELL ONLY
American Century Investments	American Century Ultra? Fund R5 Class	02508H279	AULGX				0.72000		SELL ONLY
American Century Investments	American Century Ultra? Fund Y Class	02508H261	AULYX				0.57000		SELL ONLY
American Century Investments	American Century Utilities Fund Investor Class	02507M881	BULIX				0.66000		SELL ONLY
American Century Investments	American Century Value Fund A Class	025076803	TWADX	5.75		.25	1.27000		SELL ONLY
American Century Investments	American Century Value Fund C Class	025076761	ACLCX		1.00	1.00	2.02000		SELL ONLY
American Century Investments	American Century Value Fund I Class	025076605	AVLIX				0.82000		SELL ONLY
American Century Investments	American Century Value Fund Investor Class	025076506	TWVLX				1.02000		SELL ONLY
American Century Investments	American Century Value Fund R5 Class	02508F737	AVUGX				0.82000		SELL ONLY
American Century Investments	American Century Value Fund Y Class	02508F729	AVUYX				0.67000		SELL ONLY
American Century Investments	American Century Zero Coupon 2025 Fund Advisor Class	024935850	ACTVX			.25	0.80000		SELL ONLY
American Century Investments	American Century Zero Coupon 2025 Fund Investor Class	024935603	BTTRX				0.55000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class A	02630T100	AAATX	5.75		.24	0.61000		BUY,SELL
American Funds	American Funds 2010 Target Date Retirement Fund? Class C	02631C205	CCATX		1.00	1.00	1.37000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class F-1	02631C304	FAATX			.25	0.65000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class F-2	02631C403	FBATX				0.38000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2010 Target Date Retirement Fund? Class F-3	02631V104	DJTFX				0.29000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class R-1	02630T209	RAATX			1.00	1.38000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class R-2	02630T308	RBATX			.75	1.38000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class R-2E	02631C536	RBEAX			.60	1.09000		SELL ONLY
American Funds	American Funds 2010 Target Date Retirement Fund? Class R-3	02630T407	RCATX			.50	0.93000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class A	02630T704	AABTX	5.75		.25	0.63000		BUY,SELL
American Funds	American Funds 2015 Target Date Retirement Fund? Class C	02631C601	CCBTX		1.00	.99	1.37000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class F-1	02631C700	FAKTX			.25	0.66000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class F-2	02631C809	FBBTX				0.39000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class F-3	02631V203	FDBTX				0.30000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class R-1	02630T803	RAJTX			1.00	1.39000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class R-2	02630T886	RBJTX			.75	1.39000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class R-2E	02631C528	RBEJX			.60	1.10000		SELL ONLY
American Funds	American Funds 2015 Target Date Retirement Fund? Class R-3	02630T878	RCJTX			.50	0.94000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class A	02630T845	AACTX	5.75		.24	0.62000		BUY,SELL
American Funds	American Funds 2020 Target Date Retirement Fund? Class C	02631C874	CCCTX		1.00	.99	1.37000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class F-1	02631C866	FAOTX			.25	0.66000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class F-2	02631C858	FBCTX				0.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2020 Target Date Retirement Fund? Class F-3	02631V302	FCCTX				0.30000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class R-1	02630T837	RACTX			1.00	1.39000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class R-2	02630T829	RBCTX			.75	1.39000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class R-2E	02631C510	RBEHX			.60	1.10000		SELL ONLY
American Funds	American Funds 2020 Target Date Retirement Fund? Class R-3	02630T811	RCCTX			.50	0.94000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class A	02630T779	AADTX	5.75		.24	0.63000		BUY,SELL
American Funds	American Funds 2025 Target Date Retirement Fund? Class C	02631C833	CCDTX		1.00	.98	1.37000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class F-1	02631C825	FAPTX			.25	0.67000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class F-2	02631C817	FBDTX				0.39000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class F-3	02631V401	FDDTX				0.31000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class R-1	02630T761	RADTX			1.00	1.40000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class R-2	02630T753	RBDTX			.75	1.40000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class R-2E	02631C494	RBEDX			.60	1.11000		SELL ONLY
American Funds	American Funds 2025 Target Date Retirement Fund? Class R-3	02630T746	RCDTX			.50	0.95000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class A	02630T712	AAETX	5.75		.25	0.66000		BUY,SELL
American Funds	American Funds 2030 Target Date Retirement Fund? Class C	02631C783	CCETX		1.00	.98	1.39000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class F-1	02631C775	FAETX			.25	0.69000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class F-2	02631C767	FBETX				0.42000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2030 Target Date Retirement Fund? Class F-3	02631V500	FCETX				0.33000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class R-1	02630T696	RAETX			1.00	1.42000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class R-2	02630T688	RBETX			.75	1.42000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class R-2E	02631C486	RBEEEX			.60	1.13000		SELL ONLY
American Funds	American Funds 2030 Target Date Retirement Fund? Class R-3	02630T670	RCETX			.50	0.97000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class A	02630T647	AAFTX	5.75		.25	0.67000		BUY,SELL
American Funds	American Funds 2035 Target Date Retirement Fund? Class C	02631C742	CCFTX		1.00	.98	1.40000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class F-1	02631C734	FAQTX			.25	0.70000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class F-2	02631C726	FBFTX				0.42000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class F-3	02631V609	FDFTX				0.34000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class R-1	02630T639	RAFTX			.99	1.42000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class R-2	02630T621	RBFTX			.75	1.43000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class R-2E	02631C478	RBEFX			.60	1.14000		SELL ONLY
American Funds	American Funds 2035 Target Date Retirement Fund? Class R-3	02630T613	RCFTX			.50	0.98000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class A	02630T571	AAGTX	5.75		.24	0.68000		BUY,SELL
American Funds	American Funds 2040 Target Date Retirement Fund? Class C	02631C692	CCGTX		1.00	.98	1.42000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class F-1	02631C684	FAUTX			.25	0.72000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class F-2	02631C676	FBGTX				0.44000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2040 Target Date Retirement Fund? Class F-3	02631V708	FCGTX				0.36000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class R-1	02630T563	RAKTX			1.00	1.45000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class R-2	02630T555	RBKTX			.75	1.45000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class R-2E	02631C460	RBEKX			.60	1.16000		SELL ONLY
American Funds	American Funds 2040 Target Date Retirement Fund? Class R-3	02630T548	RCKTX			.50	1.00000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class A	02630T514	AAHTX	5.75		.24	0.69000		BUY,SELL
American Funds	American Funds 2045 Target Date Retirement Fund? Class C	02631C650	CCHTX		1.00	.98	1.43000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class F-1	02631C643	FATTX			.25	0.73000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class F-2	02631C635	FBHTX				0.45000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class F-3	02631V807	FCHTX				0.37000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class R-1	02630T498	RAHTX			1.00	1.46000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class R-2	02630T480	RBHTX			.75	1.46000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class R-2E	02631C452	RBHHX			.60	1.17000		SELL ONLY
American Funds	American Funds 2045 Target Date Retirement Fund? Class R-3	02630T472	RCHTX			.50	1.01000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class A	02630T449	AALTX	5.75		.24	0.69000		BUY,SELL
American Funds	American Funds 2050 Target Date Retirement Fund? Class C	02631C619	CCITX		1.00	.98	1.43000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class F-1	02631C593	FAITX			.25	0.73000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class F-2	02631C585	FBITX				0.46000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2050 Target Date Retirement Fund? Class F-3	02631V880	DITFX				0.37000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class R-1	02630T431	RAITX			1.00	1.46000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class R-2	02630T423	RBITX			.75	1.46000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class R-2E	02630T191	RBHEX			.60	1.17000		SELL ONLY
American Funds	American Funds 2050 Target Date Retirement Fund? Class R-3	02630T415	RCITX			.50	1.01000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class A	02630T274	AAMTX	5.75		.25	0.73000		BUY,SELL
American Funds	American Funds 2055 Target Date Retirement Fund? Class C	02631C569	CCJTX		1.00	.98	1.46000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class F-1	02631C551	FAJTX			.25	0.75000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class F-2	02631C544	FBJTX				0.48000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class F-3	02631V872	FCJTX				0.39000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class R-1	02630T266	RAMTX			1.00	1.48000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class R-2	02630T258	RBMTX			.75	1.48000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class R-2E	02630T183	RBEMX			.60	1.19000		SELL ONLY
American Funds	American Funds 2055 Target Date Retirement Fund? Class R-3	02630T241	RCMTX			.50	1.03000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class A	02631C445	AANTX	5.75		.25	0.73000		BUY,SELL
American Funds	American Funds 2060 Target Date Retirement Fund? Class C	02631C429	CCKTX		1.00	.99	1.47000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class F-1	02631C411	FAWTX			.25	0.75000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class F-2	02631C395	FBKTX				0.48000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2060 Target Date Retirement Fund? Class F-3	02631V864	FCKTX				0.39000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class R-1	02631C387	RANTX			1.00	1.48000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class R-2	02631C379	RBNTX			.75	1.48000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class R-2E	02631C361	RBENX			.60	1.18000		SELL ONLY
American Funds	American Funds 2060 Target Date Retirement Fund? Class R-3	02631C353	RCNTX			.50	1.03000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class A	02631V740	AAOTX	5.75		.26	0.74000		BUY,SELL
American Funds	American Funds 2065 Target Date Retirement Fund? Class C	02631V732	CCLTX		1.00	1.00	1.48000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class F-1	02631V716	FAXTX			.25	0.75000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class F-2	02631V690	FBMTX				0.48000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class F-3	02631V682	FCQTX				0.39000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class R-1	02631V674	RAQTX			.99	1.48000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class R-2	02631V666	RBOTX			.75	1.48000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class R-2E	02631V658	RBEOX			.60	1.18000		SELL ONLY
American Funds	American Funds 2065 Target Date Retirement Fund? Class R-3	02631V641	RCPTX			.50	1.03000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class A	02631V583	AAFJX	5.75		.28	0.76000		BUY,SELL
American Funds	American Funds 2070 Target Date Retirement Fund Class C	02631V575	CCGDX		1.00	1.00	1.48000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class F-1	02631V559	FATSX			.25	0.74000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class F-2	02631V542	FBAJX				0.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds 2070 Target Date Retirement Fund Class F-3	02631V534	FCBEX				0.39000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class R-1	02631V526	RAADX			1.00	1.48000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class R-2	02631V518	RAABX			.75	1.46000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class R-2E	02631V492	RBAHX			.60	1.21000		SELL ONLY
American Funds	American Funds 2070 Target Date Retirement Fund Class R-3	02631V484	RCADX			.50	1.07000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class A	023375108	AMCPX	5.75		.24	0.67000		BUY,SELL
American Funds	American Funds AMCAP Fund? Class C	023375306	AMPCX		1.00	.99	1.42000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class F-1	023375405	AMPFX			.24	0.72000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class F-2	023375827	AMCFX				0.45000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class F-3	023375777	FMACX				0.34000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class R-1	023375876	RAFAX			1.00	1.43000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class R-2	023375868	RAFBX			.75	1.43000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class R-2E	023375793	RAEBX			.60	1.13000		SELL ONLY
American Funds	American Funds AMCAP Fund? Class R-3	023375850	RAFCX			.50	0.98000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class A	024071102	ABALX	5.75		.25	0.56000		BUY,SELL
American Funds	American Funds American Balanced Fund? Class C	024071300	BALCX		1.00	1.00	1.31000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class F-1	024071409	BALFX			.99	0.61000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class F-2	024071821	AMBFX				0.35000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds American Balanced Fund? Class F-3	024071771	AFMBX				0.25000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class R-1	024071870	RLBAX			.99	1.31000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class R-2	024071862	RLBBX			.75	1.32000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class R-2E	024071797	RAMHX			.60	1.04000		SELL ONLY
American Funds	American Funds American Balanced Fund? Class R-3	024071854	RLBCX			.50	0.89000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class A	026547109	AHITX	3.75		.26	0.72000		BUY,SELL
American Funds	American Funds American High-Income Trust? Class C	026547307	AHTCX		1.00	.99	1.45000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class F-1	026547406	AHTFX			.25	0.74000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class F-2	026547828	AHIFX				0.43000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class F-3	026547778	HIGFX				0.32000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class R-1	026547877	RITAX			1.00	1.42000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class R-2	026547869	RITBX			.75	1.41000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class R-2E	026547794	RTEHX			.60	1.12000		SELL ONLY
American Funds	American Funds American High-Income Trust? Class R-3	026547851	RITCX			.50	0.97000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class A	027681105	AMRMX	5.75		.25	0.58000		BUY,SELL
American Funds	American Funds American Mutual Fund? Class C	027681303	AMFCX		1.00	.99	1.32000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class F-1	027681402	AMFFX			.25	0.64000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class F-2	027681824	AMRFX				0.38000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds American Mutual Fund? Class F-3	027681774	AFMFX				0.27000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class R-1	027681873	RMFAX			.99	1.35000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class R-2	027681865	RMFBX			.75	1.35000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class R-2E	027681790	RMEBX			.60	1.07000		SELL ONLY
American Funds	American Funds American Mutual Fund? Class R-3	027681857	RMFCX			.50	0.91000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class A	140193103	CAIBX	5.75		.25	0.59000		BUY,SELL
American Funds	American Funds Capital Income Builder? Class C	140193301	CIBCX		1.00	.99	1.34000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class F-1	140193400	CIBFX			.25	0.66000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class F-2	140194101	CAIFX				0.38000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class F-3	140193780	CFIHX				0.27000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class R-1	140193871	RIRAX			1.00	1.36000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class R-2	140193863	RIRBX			.75	1.36000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class R-2E	140193814	RCEEX			.60	1.07000		SELL ONLY
American Funds	American Funds Capital Income Builder? Class R-3	140193855	RIRCX			.50	0.91000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class A	140541103	CWBFX	3.75		.26	0.99000		BUY,SELL
American Funds	American Funds Capital World Bond Fund? Class C	140541301	CWBCX		1.00	1.00	1.73000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class F-1	140541400	WBFFX			.24	1.04000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class F-2	140541822	BFWFX				0.60000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Capital World Bond Fund? Class F-3	140541111	WFBFX				0.48000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class R-1	140541871	RCWA X			.99	1.57000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class R-2	140541863	RCWB X			.75	1.58000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class R-2E	140541798	RCEBX			.60	1.29000		SELL ONLY
American Funds	American Funds Capital World Bond Fund? Class R-3	140541855	RCWC X			.50	1.13000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class A	140543109	CWGIX	5.75		.24	0.74000		BUY,SELL
American Funds	American Funds Capital World Growth and Income Fund? Class C	140543307	CWGC X		1.00	.99	1.49000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class F-1	140543406	CWGF X			.24	0.80000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class F-2	140543828	WGIFX				0.52000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class F-3	140543117	FWGIX				0.41000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class R-1	140543877	RWIAX			1.00	1.51000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class R-2	140543869	RWIBX			.75	1.51000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class R-2E	140543794	RWBEX			.60	1.21000		SELL ONLY
American Funds	American Funds Capital World Growth and Income Fund? Class R-3	140543851	RWICX			.50	1.06000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class A	02630Y448	INPAX	5.75		.25	0.59000		BUY,SELL
American Funds	American Funds Conservative Growth and Income Portfolio Class C	02630Y422	INPCX		1.00	1.00	1.34000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class F-1	02630Y414	INPFX			.25	0.66000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class F-2	02630Y398	INPEX				0.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Conservative Growth and Income Portfolio Class F-3	02630Q205	INPDX				0.30000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class R-1	02630Y331	RNCAX			1.00	1.36000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class R-2	02630Y323	RINBX			.75	1.38000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class R-2E	02630R377	RNBEX			.60	1.10000		SELL ONLY
American Funds	American Funds Conservative Growth and Income Portfolio Class R-3	02630Y315	RNCCX			.50	0.92000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class A	02629H109	BFCAX	3.75		.27	0.72000		BUY,SELL
American Funds	American Funds Corporate Bond Fund Class C	02629H307	BFCCX		1.00	1.00	1.45000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class F-1	02629H406	BFCFX			.25	0.71000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class F-2	02629H505	BFCGX				0.44000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class F-3	02629H778	CFBFX				0.32000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class R-1	02629H869	RCBAX			1.00	1.42000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class R-2	02629H851	RCBBX			.75	1.40000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class R-2E	02629H794	RCBGX			.60	1.12000		SELL ONLY
American Funds	American Funds Corporate Bond Fund Class R-3	02629H844	RCBCX			.50	0.96000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class A	02630F100	DWGA X	5.75		.24	1.22000		BUY,SELL
American Funds	American Funds Developing World Growth and Income Fund Class C	02630F308	DWGC X		1.00	1.00	1.98000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class F-1	02630F407	DWGF X			.25	1.16000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class F-2	02630F506	DWGH X				0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Developing World Growth and Income Fund Class F-3	02630F779	FDWG X				0.77000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class R-1	02630F860	RDWA X			1.00	1.88000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class R-2	02630F852	RDWB X			.75	1.85000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class R-2E	02630F795	RDEGX			.58	1.56000		SELL ONLY
American Funds	American Funds Developing World Growth and Income Fund Class R-3	02630F845	RDWC X			.50	1.42000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class A	02631F109	EBNAX	3.75		.25	0.93000		BUY,SELL
American Funds	American Funds Emerging Markets Bond Fund Class C	02631F307	EBNCX		1.00	1.00	1.68000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class F-1	02631F406	EBNEX			.25	0.93000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class F-2	02631F505	EBNFX				0.65000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class F-3	02631F778	EBNGX				0.54000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class R-1	02631F869	REGAX			1.00	1.63000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class R-2	02631F851	REGBX			.75	1.55000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class R-2E	02631F844	REGHX			.60	1.30000		SELL ONLY
American Funds	American Funds Emerging Markets Bond Fund Class R-3	02631F836	REGCX			.50	1.18000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class A	298706102	AEPGX	5.75		.24	0.85000		BUY,SELL
American Funds	American Funds EuroPacific Growth Fund? Class C	298706300	AEPCX		1.00	.99	1.59000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class F-1	298706409	AEGFX			.25	0.86000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class F-2	29875E100	AEPFX				0.57000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds EuroPacific Growth Fund? Class F-3	298706110	FEUPX				0.47000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class R-1	298706870	RERAX			1.00	1.57000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class R-2	298706862	RERBX			.75	1.56000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class R-2E	298706813	REEBX			.60	1.27000		SELL ONLY
American Funds	American Funds EuroPacific Growth Fund? Class R-3	298706854	RERCX			.50	1.12000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class A	360802102	ANCFX	5.75		.24	0.58000		BUY,SELL
American Funds	American Funds Fundamental Investors? Class C	360802300	AFICX		1.00	.99	1.33000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class F-1	360802409	AFIFX			.25	0.65000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class F-2	360802821	FINFX				0.38000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class F-3	360802771	FUNFX				0.28000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class R-1	360802870	RFNAX			.99	1.36000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class R-2	360802862	RFNBX			.75	1.36000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class R-2E	360802797	RFEBX			.60	1.07000		SELL ONLY
American Funds	American Funds Fundamental Investors? Class R-3	360802854	RFNCX			.50	0.92000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class A	02629W106	GBLAX	5.75		.25	0.81000		BUY,SELL
American Funds	American Funds Global Balanced Fund Class C	02629W304	GBLCX		1.00	.99	1.55000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class F-1	02629W403	GBLEX			.25	0.86000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class F-2	02629W502	GBLFX				0.58000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Global Balanced Fund Class F-3	02629W775	GFBLX				0.47000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class R-1	02629W866	RGBLX			1.00	1.53000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class R-2	02629W858	RGBBX			.75	1.54000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class R-2E	02629W791	RGGHX			.60	1.28000		SELL ONLY
American Funds	American Funds Global Balanced Fund Class R-3	02629W841	RGBCX			.50	1.11000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class A	02630R617	PGGAX	5.75		.24	0.80000		BUY,SELL
American Funds	American Funds Global Growth Portfolio Class C	02630R583	GGPCX		1.00	.99	1.55000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class F-1	02630R575	PGGFX			.25	0.82000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class F-2	02630R567	PGWFX				0.55000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class F-3	02630R344	PGXFX				0.45000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class R-1	02630R492	RGGAX			1.00	1.52000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class R-2	02630R484	RGGBX			.75	1.53000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class R-2E	02630R427	REBGX			.60	1.25000		SELL ONLY
American Funds	American Funds Global Growth Portfolio Class R-3	02630R476	RGLCX			.50	1.09000		SELL ONLY
American Funds	American Funds Global Insight Fund Class A	14020E106	AGVFX	5.75		.30	0.86000		BUY,SELL
American Funds	American Funds Global Insight Fund Class C	14020E205	AGVDX		1.00	1.00	1.56000		SELL ONLY
American Funds	American Funds Global Insight Fund Class F-1	14020E403	AGVEX			.25	0.82000		SELL ONLY
American Funds	American Funds Global Insight Fund Class F-2	14020E502	AGVGX				0.54000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Global Insight Fund Class F-3	14020E601	AGVHX				0.45000		SELL ONLY
American Funds	American Funds Global Insight Fund Class R-1	14020E858	RGLAX			1.00	1.52000		SELL ONLY
American Funds	American Funds Global Insight Fund Class R-2	14020E841	RGLBX			.74	1.52000		SELL ONLY
American Funds	American Funds Global Insight Fund Class R-2E	14020E833	RGLHX			.60	1.24000		SELL ONLY
American Funds	American Funds Global Insight Fund Class R-3	14020E825	RGLDX			.50	1.12000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class A	02630R203	GAIOX	5.75		.26	0.66000		BUY,SELL
American Funds	American Funds Growth and Income Portfolio Class C	02630R401	GAITX		1.00	1.00	1.40000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class F-1	02630R500	GAIFX			.25	0.70000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class F-2	02630R609	GAIEX				0.44000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class F-3	02630R351	GAIHX				0.34000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class R-1	02630R856	RGNAX			1.00	1.42000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class R-2	02630R849	RGNBX			.75	1.40000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class R-2E	02630R419	RBEGX			.60	1.14000		SELL ONLY
American Funds	American Funds Growth and Income Portfolio Class R-3	02630R831	RAICX			.50	0.98000		SELL ONLY
American Funds	American Funds Growth Portfolio Class A	02630R781	GWPA X	5.75		.25	0.73000		BUY,SELL
American Funds	American Funds Growth Portfolio Class C	02630R765	GWPC X		1.00	1.00	1.48000		SELL ONLY
American Funds	American Funds Growth Portfolio Class F-1	02630R757	GWPFX			.25	0.75000		SELL ONLY
American Funds	American Funds Growth Portfolio Class F-2	02630R740	GWPE X				0.47000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Growth Portfolio Class F-3	02630R369	GWPD X				0.38000		SELL ONLY
American Funds	American Funds Growth Portfolio Class R-1	02630R674	RGWA X			1.00	1.47000		SELL ONLY
American Funds	American Funds Growth Portfolio Class R-2	02630R666	RGWB X			.75	1.46000		SELL ONLY
American Funds	American Funds Growth Portfolio Class R-2E	02630R393	RBGEX			.60	1.17000		SELL ONLY
American Funds	American Funds Growth Portfolio Class R-3	02630R658	RGPCX			.50	1.01000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class A	02630D105	BFIAX	2.50		.29	0.69000		BUY,SELL
American Funds	American Funds Inflation Linked Bond Fund Class C	02630D303	BFICX		1.00	1.00	1.39000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class F-1	02630D402	BFIFX			.25	0.67000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class F-2	02630D501	BFIGX				0.40000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class F-3	02630D774	FILBX				0.29000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class R-1	02630D865	RILAX			1.00	1.41000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class R-2	02630D857	RILBX			.75	1.36000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class R-2E	02630D790	RILGX			.60	1.10000		SELL ONLY
American Funds	American Funds Inflation Linked Bond Fund Class R-3	02630D840	RILCX			.50	0.93000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class A	458809100	AIBAX	2.50		.29	0.68000		BUY,SELL
American Funds	American Funds Intermediate Bond Fund of America? Class C	458809308	IBFCX		1.00	1.00	1.39000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class F-1	458809407	IBFFX			.25	0.71000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class F-2	458809829	IBAFX				0.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Intermediate Bond Fund of America? Class F-3	458809787	IFBFX				0.28000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class R-1	458809878	RBOAX			1.00	1.35000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class R-2	458809860	RBOBX			.75	1.34000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class R-2E	458809118	REBBX			.60	1.07000		SELL ONLY
American Funds	American Funds Intermediate Bond Fund of America? Class R-3	458809852	RBOCX			.50	0.92000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class A	45956T105	IGAAX	5.75		.25	0.92000		BUY,SELL
American Funds	American Funds International Growth and Income Fund Class C	45956T303	IGICX		1.00	.99	1.66000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class F-1	45956T402	IGIFX			.25	0.94000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class F-2	45956T501	IGFFX				0.65000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class F-3	45956T774	IGAIX				0.54000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class R-1	45956T865	RIGAX			1.00	1.65000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class R-2	45956T857	RIGBX			.75	1.63000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class R-2E	45956T790	RIIEX			.60	1.34000		SELL ONLY
American Funds	American Funds International Growth and Income Fund Class R-3	45956T840	RGICX			.50	1.19000		SELL ONLY
American Funds	American Funds International Vantage Fund Class A	14019V101	AIVBX	5.75		.30	1.00000		BUY,SELL
American Funds	American Funds International Vantage Fund Class C	14019V200	AIVCX		1.00	1.00	1.70000		SELL ONLY
American Funds	American Funds International Vantage Fund Class F-1	14019V408	AIVEX			.25	0.91000		SELL ONLY
American Funds	American Funds International Vantage Fund Class F-2	14019V507	AIVFX				0.64000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds International Vantage Fund Class F-3	14019V606	AIVGX				0.54000		SELL ONLY
American Funds	American Funds International Vantage Fund Class R-1	14019V853	RIVAX			1.00	1.62000		SELL ONLY
American Funds	American Funds International Vantage Fund Class R-2	14019V846	RIVDX			.74	1.58000		SELL ONLY
American Funds	American Funds International Vantage Fund Class R-2E	14019V838	RIVHX			.58	1.33000		SELL ONLY
American Funds	American Funds International Vantage Fund Class R-3	14019V820	RIVIX			.50	1.23000		SELL ONLY
American Funds	American Funds Investment Company of America? Class A	461308108	AIVSX	5.75		.24	0.56000		BUY,SELL
American Funds	American Funds Investment Company of America? Class C	461308306	AICCX		1.00	.99	1.31000		SELL ONLY
American Funds	American Funds Investment Company of America? Class F-1	461308405	AICFX			.24	0.63000		SELL ONLY
American Funds	American Funds Investment Company of America? Class F-2	461308827	ICAFX				0.37000		SELL ONLY
American Funds	American Funds Investment Company of America? Class F-3	461308777	FFICX				0.27000		SELL ONLY
American Funds	American Funds Investment Company of America? Class R-1	461308876	RICAX			.98	1.33000		SELL ONLY
American Funds	American Funds Investment Company of America? Class R-2	461308868	RICBX			.75	1.35000		SELL ONLY
American Funds	American Funds Investment Company of America? Class R-2E	461308793	RIBEX			.60	1.06000		SELL ONLY
American Funds	American Funds Investment Company of America? Class R-3	461308850	RICCX			.50	0.91000		SELL ONLY
American Funds	American Funds Limited Term Tax Exempt Bond Fund? Class C	532726304	LTXCX		1.00	1.00	1.30000		SELL ONLY
American Funds	American Funds Limited Term Tax Exempt Bond Fund? Class F1	532726403	LTXFX			.25	0.64000		SELL ONLY
American Funds	American Funds Limited Term Tax Exempt Bond Fund? Class F2	532726601	LTEFX				0.37000		SELL ONLY
American Funds	American Funds Limited Term Tax-Exempt Bond Fund? Class F-3	532726809	FLTEX				0.26000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Moderate Growth and Income Portfolio Class A	02630Y265	BLPAX	5.75		.26	0.66000		BUY,SELL
American Funds	American Funds Moderate Growth and Income Portfolio Class C	02630Y240	BLPCX		1.00	1.00	1.40000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class F-1	02630Y232	BLPFX			.25	0.70000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class F-2	02630Y224	BLPEX				0.45000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class F-3	02630Q106	BLPDX				0.35000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class R-1	02630Y158	RBAAX			.98	1.40000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class R-2	02630Y141	RBABX			.75	1.42000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class R-2E	02630R435	RBBEX			.60	1.15000		SELL ONLY
American Funds	American Funds Moderate Growth and Income Portfolio Class R-3	02630Y133	RBACX			.50	0.99000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class A	02630V105	MFAAX	3.75		.25	0.75000		BUY,SELL
American Funds	American Funds Mortgage Fund? Class C	02630V303	MFACX		1.00	1.00	1.51000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class F-1	02630V402	MFAEX			.25	0.67000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class F-2	02630V501	MFAFX				0.42000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class F-3	02630V774	AFFMX				0.31000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class R-1	02630V865	RMAAX			1.00	1.44000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class R-2	02630V857	RMABX			.75	1.41000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class R-2E	02630V790	RMBEX			.57	1.10000		SELL ONLY
American Funds	American Funds Mortgage Fund? Class R-3	02630V840	RMACX			.50	0.97000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Multi-Sector Income Fund Class A	02631W102	MIAQX	3.75		.30	0.75000		BUY,SELL
American Funds	American Funds Multi-Sector Income Fund Class C	02631W201	MIAUX		1.00	1.00	1.45000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class F-1	02631W409	MIAWX			.25	0.74000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class F-2	02631W508	MIAZX				0.48000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class F-3	02631W607	MIAZX				0.37000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class R-1	02631W854	RMDNX			1.00	1.45000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class R-2	02631W847	RMDOX			.75	1.48000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class R-2E	02631W839	RMDPX			.60	1.18000		SELL ONLY
American Funds	American Funds Multi-Sector Income Fund Class R-3	02631W821	RMDQX			.50	0.99000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class A	648018109	ANWPX	5.75		.24	0.73000		BUY,SELL
American Funds	American Funds New Perspective Fund? Class C	648018307	NPFCX		1.00	.99	1.48000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class F-1	648018406	NPFFX			.24	0.78000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class F-2	648018828	ANWFX				0.52000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class F-3	648018778	FNPFX				0.41000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class R-1	648018877	RNPAX			.99	1.49000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class R-2	648018869	RNPBX			.75	1.50000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class R-2E	648018794	RPEBX			.60	1.21000		SELL ONLY
American Funds	American Funds New Perspective Fund? Class R-3	648018851	RNPCX			.50	1.06000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds New World Fund? Class A	649280104	NEWFX	5.75		.24	0.98000		BUY,SELL
American Funds	American Funds New World Fund? Class C	649280302	NEWCX		1.00	.99	1.73000		SELL ONLY
American Funds	American Funds New World Fund? Class F-1	649280401	NWFFX			.25	0.97000		SELL ONLY
American Funds	American Funds New World Fund? Class F-2	649280823	NFFFX				0.68000		SELL ONLY
American Funds	American Funds New World Fund? Class F-3	649280773	FNWFX				0.57000		SELL ONLY
American Funds	American Funds New World Fund? Class R-1	649280872	RNWA X			.99	1.66000		SELL ONLY
American Funds	American Funds New World Fund? Class R-2	649280864	RNWB X			.75	1.67000		SELL ONLY
American Funds	American Funds New World Fund? Class R-2E	649280799	RNEBX			.60	1.37000		SELL ONLY
American Funds	American Funds New World Fund? Class R-3	649280856	RNWC X			.50	1.22000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class A	02630Y794	PPVAX	2.50		.30	0.66000		BUY,SELL
American Funds	American Funds Preservation Portfolio Class C	02630Y778	PPVCX		1.00	1.00	1.36000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class F-1	02630Y760	PPVFX			.25	0.67000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class F-2	02630Y752	PPEFX				0.38000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class F-3	02630Q403	PPFFX				0.28000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class R-1	02630Y687	RPPVX			1.00	1.37000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class R-2	02630Y679	RPPBX			.75	1.35000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class R-2E	02630R385	RPBEX			.60	1.16000		SELL ONLY
American Funds	American Funds Preservation Portfolio Class R-3	02630Y661	RPPCX			.49	0.90000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Retirement Income Portfolio - Conservative Class A	02631L106	NAARX	5.75		.26	0.59000		BUY,SELL
American Funds	American Funds Retirement Income Portfolio - Conservative Class C	02631L304	NGCRX		1.00	1.00	1.33000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class F-1	02631L403	FAFWX			.25	0.65000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class F-2	02631L502	FDFWX				0.40000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class F-3	02631L544	FICWX				0.30000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class R-1	02631L601	RARPX			1.00	1.32000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class R-2	02631L700	RDRPX			.75	1.28000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class R-2E	02631L809	RGRPX			.60	1.08000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Conservative Class R-3	02631L882	RJRPX			.50	0.95000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class A	02631L718	NDARX	5.75		.26	0.60000		BUY,SELL
American Funds	American Funds Retirement Income Portfolio - Enhanced Class C	02631L684	NDCRX		1.00	1.00	1.34000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class F-1	02631L676	FCFWX			.25	0.69000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class F-2	02631L668	FGFWX				0.42000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class F-3	02631L528	FIEWX				0.32000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class R-1	02631L650	RCRPX			.99	1.32000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class R-2	02631L643	RFRPX			.75	1.17000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class R-2E	02631L635	RIRPX			.59	1.11000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Enhanced Class R-3	02631L627	RLRPX			.50	0.90000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Retirement Income Portfolio - Moderate Class A	02631L841	NBARX	5.75		.27	0.60000		BUY,SELL
American Funds	American Funds Retirement Income Portfolio - Moderate Class C	02631L825	NBCRX		1.00	1.00	1.33000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class F-1	02631L817	FBFWX			.25	0.66000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class F-2	02631L791	FHFWX				0.40000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class F-3	02631L536	FIMWX				0.31000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class R-1	02631L783	RBRPX			1.00	1.32000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class R-2	02631L775	RERPX			.75	1.20000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class R-2E	02631L767	RHRPX			.60	1.09000		SELL ONLY
American Funds	American Funds Retirement Income Portfolio - Moderate Class R-3	02631L759	RKRPX			.50	0.92000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class A	82524A102	ASBAX	2.50		.30	0.68000		BUY,SELL
American Funds	American Funds Short-Term Bond Fund of America? Class C	82524A300	ASBCX		1.00	1.00	1.38000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class F-1	82524A409	ASBFX			.25	0.68000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class F-2	82524A821	SBFFX				0.40000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class F-3	82524A771	FSBTX				0.29000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class R-1	82524A888	RAMAX			1.00	1.39000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class R-2	82524A870	RAMBX			.75	1.36000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class R-2E	82524A797	RAAEX			.60	1.05000		SELL ONLY
American Funds	American Funds Short-Term Bond Fund of America? Class R-3	82524A862	RAMCX			.50	0.91000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Short-Term Tax Exempt Bond Fund? Class F-3	02630W707	SFTEX				0.25000		SELL ONLY
American Funds	American Funds Short-Term Tax-Exempt Bond Fund? Class F-1	02630W509	FSTTX			.25	0.63000		SELL ONLY
American Funds	American Funds Short-Term Tax-Exempt Bond Fund? Class F-2	02630W608	ASTFX				0.32000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class A	831681101	SMCW X	5.75		.25	1.04000		BUY,SELL
American Funds	American Funds SMALLCAP World Fund? Class C	831681309	SCWC X		1.00	.99	1.78000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class F-1	831681408	SCWFX			.24	1.08000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class F-2	831681820	SMCFX				0.76000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class F-3	831681770	SFCWX				0.65000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class R-1	831681879	RSLAX			1.00	1.74000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class R-2	831681861	RSLBX			.75	1.75000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class R-2E	831681796	RSEBX			.60	1.45000		SELL ONLY
American Funds	American Funds SMALLCAP World Fund? Class R-3	831681853	RSLCX			.50	1.30000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class A	02631E102	ANBAX	3.75		.30	0.72000		BUY,SELL
American Funds	American Funds Strategic Bond Fund Class C	02631E300	ANBCX		1.00	1.00	1.42000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class F-1	02631E409	ANBEX			.25	0.70000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class F-2	02631E508	ANBFX				0.42000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class F-3	02631E771	ANBGX				0.31000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class R-1	02631E862	RANAX			1.00	1.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Strategic Bond Fund Class R-2	02631E854	RANBX			.75	1.34000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class R-2E	02631E847	RANHX			.60	1.12000		SELL ONLY
American Funds	American Funds Strategic Bond Fund Class R-3	02631E839	RANCX			.50	0.95000		SELL ONLY
American Funds	American Funds Tax Exempt Bond Fund? Class F-3	876902800	TFEBX				0.25000		SELL ONLY
American Funds	American Funds Tax-Aware Conservative Growth and Income Portfolio Class A	02630Y620	TAIAX	3.75		.28	0.64000		BUY,SELL
American Funds	American Funds Tax-Aware Conservative Growth and Income Portfolio Class C	02630Y596	TAICX		1.00	1.00	1.36000		SELL ONLY
American Funds	American Funds Tax-Aware Conservative Growth and Income Portfolio Class F-1	02630Y588	TAIFX			.25	0.70000		SELL ONLY
American Funds	American Funds Tax-Aware Conservative Growth and Income Portfolio Class F-2	02630Y570	TXIFX				0.43000		SELL ONLY
American Funds	American Funds Tax-Aware Conservative Growth and Income Portfolio Class F-3	02630Q304	TYIFX				0.33000		SELL ONLY
American Funds	American Funds Tax-Exempt Bond Fund? Class C	876902305	TEBCX		1.00	1.00	1.29000		SELL ONLY
American Funds	American Funds Tax-Exempt Bond Fund? Class F1	876902404	AFTFX			.25	0.62000		SELL ONLY
American Funds	American Funds Tax-Exempt Bond Fund? Class F2	876902602	TEAFX				0.35000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of California? Class C	02630B307	TECCX		1.00	1.00	1.32000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of California? Class F-1	02630B406	TECFX			.25	0.66000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of California? Class F-2	02630B604	TEFEX				0.38000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of California? Class F-3	02630B703	EXCAX				0.29000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Tax-Exempt Fund of New York? Class C	02630X309	NYACX		1.00	1.00	1.41000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of New York? Class F-1	02630X408	NYAEX			.25	0.75000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of New York? Class F-2	02630X507	NYAFX				0.48000		SELL ONLY
American Funds	American Funds Tax-Exempt Fund of New York? Class F-3	02630X606	TFNYX				0.37000		SELL ONLY
American Funds	American Funds Tax-Exempt Preservation Portfolio Class C	02630Y307	TEPCX		1.00	1.00	1.31000		SELL ONLY
American Funds	American Funds Tax-Exempt Preservation Portfolio Class F-1	02630Y406	TEPFX			.25	0.65000		SELL ONLY
American Funds	American Funds Tax-Exempt Preservation Portfolio Class F-2	02630Y505	TXEFX				0.37000		SELL ONLY
American Funds	American Funds Tax-Exempt Preservation Portfolio Class F-3	02630Q502	TYEFX				0.27000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class A	097873103	ABNDX	3.75		.25	0.62000		BUY,SELL
American Funds	American Funds The Bond Fund of America? Class C	097873301	BFACX		1.00	.99	1.36000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class F-1	097873400	BFAFX			.25	0.66000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class F-2	097873822	ABNFX				0.36000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class F-3	097873772	BFFAX				0.25000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class R-1	097873871	RBFAX			1.00	1.34000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class R-2	097873863	RFBFX			.75	1.34000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class R-2E	097873798	RBEBX			.60	1.05000		SELL ONLY
American Funds	American Funds The Bond Fund of America? Class R-3	097873855	RBFCX			.50	0.90000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class A	399874106	AGTHX	5.75		.24	0.61000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds The Growth Fund of America? Class C	399874304	GFACX		1.00	.99	1.36000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class F-1	399874403	GFAFX			.25	0.67000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class F-2	399874825	GFFFX				0.40000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class F-3	399874775	GAFFX				0.30000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class R-1	399874874	RGAAAX			.99	1.38000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class R-2	399874866	RGABX			.75	1.39000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class R-2E	399874791	RGEBX			.60	1.09000		SELL ONLY
American Funds	American Funds The Growth Fund of America? Class R-3	399874858	RGACX			.50	0.94000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class A	453320103	AMECX	5.75		.25	0.58000		BUY,SELL
American Funds	American Funds The Income Fund of America? Class C	453320301	IFACX		1.00	1.00	1.33000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class F-1	453320400	IFAFX			.25	0.65000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class F-2	453320822	AMEFX				0.37000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class F-3	453320772	FIFAX				0.27000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class R-1	453320871	RIDAX			1.00	1.36000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class R-2	453320863	RIDBX			.75	1.36000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class R-2E	453320798	RIEBX			.60	1.07000		SELL ONLY
American Funds	American Funds The Income Fund of America? Class R-3	453320855	RIDCX			.50	0.91000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class A	643822109	ANEFX	5.75		.24	0.75000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds The New Economy Fund? Class C	643822307	ANFCX		1.00	.99	1.50000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class F-1	643822406	ANFFX			.24	0.79000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class F-2	643822828	NEFFX				0.52000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class F-3	643822778	FNEFX				0.41000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class R-1	643822877	RNGAX			.99	1.49000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class R-2	643822869	RRGBX			.75	1.50000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class R-2E	643822794	RNNEX			.60	1.21000		SELL ONLY
American Funds	American Funds The New Economy Fund? Class R-3	643822851	RNGCX			.50	1.06000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class A	026300103	AMUSX	3.75		.26	0.70000		BUY,SELL
American Funds	American Funds U.S. Government Securities Fund? Class C	026300301	UGSCX		1.00	.99	1.43000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class F-1	026300400	UGSFX			.25	0.73000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class F-2	026300822	GVTFX				0.39000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class F-3	026300772	USGFX				0.29000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class R-1	026300871	RGVAX			1.00	1.37000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class R-2	026300863	RGVBX			.75	1.37000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class R-2E	026300798	RGEVX			.60	1.09000		SELL ONLY
American Funds	American Funds U.S. Government Securities Fund? Class R-3	026300855	RGVCX			.50	0.93000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class A	939330106	AWSHX	5.75		.24	0.56000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
American Funds	American Funds Washington Mutual Investors Fund Class C	939330304	WSHC X		1.00	1.00	1.32000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class F-1	939330403	WSHFX			.25	0.63000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class F-2	939330825	WMFFX				0.37000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class F-3	939330775	FWMIX				0.26000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class R-1	939330874	RWMA X			1.00	1.35000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class R-2	939330866	RWMB X			.75	1.35000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class R-2E	939330791	RWEBX			.60	1.06000		SELL ONLY
American Funds	American Funds Washington Mutual Investors Fund Class R-3	939330858	RWMC X			.50	0.91000		SELL ONLY
American Funds	American High-Income Municipal Bond Fund? Class C	026545301	AHICX		1.00	1.00	1.38000		SELL ONLY
American Funds	American High-Income Municipal Bond Fund? Class F-1	026545400	ABHFX			.25	0.69000		SELL ONLY
American Funds	American High-Income Municipal Bond Fund? Class F-2	026545608	AHMFX				0.43000		SELL ONLY
American Funds	American High-Income Municipal Bond Fund? Class F-3	026545806	HIMFX				0.32000		SELL ONLY
AMG Funds	AMG Beutel Goodman Core Plus Bond Fund - Class I	00171A761	ADLIX				0.60000		SELL ONLY
AMG Funds	AMG Beutel Goodman Core Plus Bond Fund - Class N	00171A779	ADBLX			.25	0.80000		SELL ONLY
AMG Funds	AMG Beutel Goodman Core Plus Bond Fund - Class Z	00171C205	ADZIX				0.55000		SELL ONLY
AMG Funds	AMG Boston Common Global Impact Fund - Class I	00170J300	BRWIX				0.95000		SELL ONLY
AMG Funds	AMG Frontier Small Cap Growth Fund Class I	00170J771	MSSCX				1.23000		SELL ONLY
AMG Funds	AMG Frontier Small Cap Growth Fund Class N	00170J789	MSSVX			.25	1.54000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AMG Funds	AMG Frontier Small Cap Growth Fund Class Z	00170J763	MSSYX				1.14000		SELL ONLY
AMG Funds	AMG GW&K Core Bond ESG Fund - Class I	00170J730	MBDFX				0.69000		SELL ONLY
AMG Funds	AMG GW&K Core Bond ESG Fund - Class N	00170J722	MBGVX			.25	1.02000		SELL ONLY
AMG Funds	AMG GW&K Core Bond ESG Fund - Class Z	00170J714	MBDLX				0.62000		SELL ONLY
AMG Funds	AMG GW&K ESG Bond Fund - Class I	00170L834	MGBIX				0.50000		SELL ONLY
AMG Funds	AMG GW&K ESG Bond Fund - Class N	00170L842	MGFIX				0.70000		SELL ONLY
AMG Funds	AMG GW&K International Small Cap Fund - Class I	00170L503	MECIX				1.37000		SELL ONLY
AMG Funds	AMG GW&K International Small Cap Fund - Class N	00170L404	MECAX				1.52000		SELL ONLY
AMG Funds	AMG GW&K International Small Cap Fund - Class Z	00170L727	MECZX				1.27000		SELL ONLY
AMG Funds	AMG GW&K Municipal Bond Fund Class I	00170K505	GWMIX				0.46000		SELL ONLY
AMG Funds	AMG GW&K Municipal Bond Fund Class N	00170K307	GWMTX			.25	0.79000		SELL ONLY
AMG Funds	AMG GW&K Municipal Enhanced Yield Fund Class I	00170K802	GWME X				0.73000		SELL ONLY
AMG Funds	AMG GW&K Municipal Enhanced Yield Fund Class N	00170K604	GWMN X			.25	1.08000		SELL ONLY
AMG Funds	AMG GW&K Municipal Enhanced Yield Fund Class Z	00170K158	GWMZ X				0.68000		SELL ONLY
AMG Funds	AMG GW&K Small Cap Core Fund Class I	00170K869	GWEIX				0.96000		SELL ONLY
AMG Funds	AMG GW&K Small Cap Core Fund Class N	00170K885	GWETX			.25	1.31000		SELL ONLY
AMG Funds	AMG GW&K Small Cap Core Fund Class Z	00170K141	GWEZX				0.91000		SELL ONLY
AMG Funds	AMG GW&K Small Cap Value Fund Class I	00170K224	SKSIX				0.99000		SELL ONLY
AMG Funds	AMG GW&K Small Cap Value Fund Class N	00170K208	SKSEX				1.19000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AMG Funds	AMG GW&K Small Cap Value Fund Class Z	00170K216	SKSZX				0.94000		SELL ONLY
AMG Funds	AMG GW&K Small/Mid Cap Core Fund - Class I	00170K349	GWGIX				0.88000		SELL ONLY
AMG Funds	AMG GW&K Small/Mid Cap Core Fund - Class N	00170K364	GWGVX			.25	1.08000		SELL ONLY
AMG Funds	AMG GW&K Small/Mid Cap Core Fund - Class Z	00170K232	GWGZX				0.83000		SELL ONLY
AMG Funds	AMG GW&K Small/Mid Cap Growth Fund ? I	00171A639	ACWIX				1.10000		SELL ONLY
AMG Funds	AMG GW&K Small/Mid Cap Growth Fund ? N	00171A647	ACWDX			.19	1.24000		SELL ONLY
AMG Funds	AMG Montrusco Bolton Large Cap Growth Fund - Class I	00171A589	MCGIX				0.79000		SELL ONLY
AMG Funds	AMG Montrusco Bolton Large Cap Growth Fund - Class N	00171A597	MCGFX			.15	0.97000		SELL ONLY
AMG Funds	AMG Renaissance Large Cap Growth Fund Class I	00170K836	MRLSX				0.85000		SELL ONLY
AMG Funds	AMG Renaissance Large Cap Growth Fund Class N	00170K844	MRLTX			.25	1.12000		SELL ONLY
AMG Funds	AMG Renaissance Large Cap Growth Fund Class Z	00170K828	MRLIX				0.78000		SELL ONLY
AMG Funds	AMG River Road Dividend All Cap Value Fund Class I	00171A209	ARIDX				0.85000		SELL ONLY
AMG Funds	AMG River Road Dividend All Cap Value Fund Class N	00171A100	ARDEX			.25	1.10000		SELL ONLY
AMG Funds	AMG River Road Dividend All Cap Value Fund Class Z	00171C601	ARZDX				0.81000		SELL ONLY
AMG Funds	AMG River Road Focused Absolute Value Fund Class I	00171A605	AFAVX				1.02000		SELL ONLY
AMG Funds	AMG River Road Focused Absolute Value Fund Class N	00171A506	ARRFX			.24	1.26000		SELL ONLY
AMG Funds	AMG River Road Focused Absolute Value Fund Class Z	00171C809	ARRZX				0.98000		SELL ONLY
AMG Funds	AMG River Road Large Cap Value Select Fund - Class I	00170J797	MEQFX				0.83000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AMG Funds	AMG River Road Large Cap Value Select Fund - Class N	00170J862	FQUAX			.25	1.15000		SELL ONLY
AMG Funds	AMG River Road Mid Cap Value Fund - Class I	00171A720	ABMIX				0.84000		SELL ONLY
AMG Funds	AMG River Road Mid Cap Value Fund - Class N	00171A738	CHTTX			.25	1.14000		SELL ONLY
AMG Funds	AMG River Road Mid Cap Value Fund - Class Z	00171C304	ABIZX				0.79000		SELL ONLY
AMG Funds	AMG River Road Small Cap Value Fund Class I	00171A852	ARSIX				1.11000		SELL ONLY
AMG Funds	AMG River Road Small Cap Value Fund Class N	00171A860	ARSVX			.25	1.37000		SELL ONLY
AMG Funds	AMG River Road Small Cap Value Fund Class Z	00171C874	ARZMX				1.02000		SELL ONLY
AMG Funds	AMG River Road Small-Mid Cap Value Fund Class I	00171A878	ARIMX				1.03000		SELL ONLY
AMG Funds	AMG River Road Small-Mid Cap Value Fund Class N	00171A886	ARSMX			.25	1.29000		SELL ONLY
AMG Funds	AMG River Road Small-Mid Cap Value Fund Class Z	00171C866	ARSZX				0.98000		SELL ONLY
AMG Funds	AMG TimesSquare International Small Cap Fund Class I	00170K182	TQTIX				1.11000		SELL ONLY
AMG Funds	AMG TimesSquare International Small Cap Fund Class N	00170K711	TCMPX				1.27000		SELL ONLY
AMG Funds	AMG TimesSquare International Small Cap Fund Class Z	00170K695	TCMIX				1.02000		SELL ONLY
AMG Funds	AMG TimesSquare Mid Cap Growth Fund Class I	00170K174	TQMIX				0.91000		SELL ONLY
AMG Funds	AMG TimesSquare Mid Cap Growth Fund Class N	00170K752	TMDPX				1.06000		SELL ONLY
AMG Funds	AMG TimesSquare Mid Cap Growth Fund Class Z	00170K745	TMDIX				0.86000		SELL ONLY
AMG Funds	AMG TimesSquare Small Cap Growth Fund Class I	00170K166	TSQIX				1.09000		SELL ONLY
AMG Funds	AMG TimesSquare Small Cap Growth Fund Class N	00170K737	TSCPX				1.21000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
AMG Funds	AMG TimesSquare Small Cap Growth Fund Class Z	00170K729	TSCIX				1.01000		SELL ONLY
AMG Funds	AMG Veritas Asia Pacific Fund - Class I	00170L859	MSEIX				1.05000		SELL ONLY
AMG Funds	AMG Veritas Asia Pacific Fund - Class N	00170L867	MGSEX				1.29000		SELL ONLY
AMG Funds	AMG Veritas China Fund Class I	00170J409	MIMFX				1.27000		SELL ONLY
AMG Funds	AMG Veritas China Fund Class N	00170J755	MMCFX				1.48000		SELL ONLY
AMG Funds	AMG Veritas Global Focus Fund Class I	00170J813	MFQTX				1.20000		SELL ONLY
AMG Funds	AMG Veritas Global Focus Fund Class N	00170J870	MFQAX			.25	1.45000		SELL ONLY
AMG Funds	AMG Veritas Global Real Return Fund - Class I	00170J201	BLUEX				1.24000		SELL ONLY
AMG Funds	AMG Yacktman Focused Fund - Class I	00170K562	YAFIX				1.06000		SELL ONLY
AMG Funds	AMG Yacktman Focused Fund - Class N	00170K570	YAFFX				1.25000		SELL ONLY
AMG Funds	AMG Yacktman Fund Class I	00170K588	YACKX				0.71000		SELL ONLY
AMG Funds	AMG Yacktman Global Fund - Class I	00170K240	YFSIX				0.96000		SELL ONLY
AMG Funds	AMG Yacktman Global Fund - Class N	00170K257	YFSNX				1.16000		SELL ONLY
AMG Funds	AMG Yacktman Special Opportunities Fund Class I	00170K489	YASSX				1.19000		SELL ONLY
AMG Funds	AMG Yacktman Special Opportunities Fund Class Z	00170K471	YASLX				1.09000		SELL ONLY
Amundi US	Pioneer Active Credit Fund A	72388E100	RCRAX	4.50		.25	1.54000		SELL ONLY
Amundi US	Pioneer Active Credit Fund C	72388E209	RCRCX		1.00	1.00	2.31000		SELL ONLY
Amundi US	Pioneer Active Credit Fund Y	72388E308	RCRYX			.00	1.32000		SELL ONLY
Amundi US	Pioneer AMT-Free Municipal Fund Class C	72387W887	MNBCX		1.00	1.00	1.60000		SELL ONLY
Amundi US	Pioneer AMT-Free Municipal Fund Class Y	72387W747	PBYMX			.00	0.66000		SELL ONLY
Amundi US	Pioneer Bond Fund Class A	723622106	PIOBX	4.50		.25	0.81000		BUY,SELL
Amundi US	Pioneer Bond Fund Class C	723622304	PCYBX		1.00	1.00	1.46000		SELL ONLY
Amundi US	Pioneer Bond Fund Class K	723622809	PBFKX			.00	0.36000		SELL ONLY
Amundi US	Pioneer Bond Fund Class Y	723622403	PICYX			.00	0.47000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Amundi US	Pioneer Cat Bond Fund Class A Shares	72388C856	ACBAX	4.50		.25	1.70000		SELL ONLY
Amundi US	Pioneer Cat Bond Fund Class K Shares	72388C849	ACBKX			.00	1.33000		SELL ONLY
Amundi US	Pioneer Cat Bond Fund Class Y Shares	72388C831	CBYYX			.00	1.46000		SELL ONLY
Amundi US	Pioneer Disciplined Value Fund Class A	72387X109	CVFCX	5.75		.25	0.86000		SELL ONLY
Amundi US	Pioneer Disciplined Value Fund Class C	72387X307	CVCFX		1.00	1.00	1.63000		SELL ONLY
Amundi US	Pioneer Disciplined Value Fund Class Y	72387X406	CVFYX			.00	0.61000		SELL ONLY
Amundi US	Pioneer Equity Premium Income Fund Class A	72387S407	PMARX	4.50		.25	1.40000		SELL ONLY
Amundi US	Pioneer Equity Premium Income Fund Class C	72387S506	PRRCX		1.00	1.00	2.14000		SELL ONLY
Amundi US	Pioneer Equity Premium Income Fund Class K	72387S845	FLEKX			.00	1.05000		SELL ONLY
Amundi US	Pioneer Equity Premium Income Fund Class Y	72387S605	PMYRX			.00	1.14000		SELL ONLY
Amundi US	Pioneer Floating Rate Fund Class A	72387S100	FLARX	4.50		.25	1.18000		BUY,SELL
Amundi US	Pioneer Floating Rate Fund Class C	72387S209	FLRCX		1.00	1.00	1.85000		SELL ONLY
Amundi US	Pioneer Floating Rate Fund Class Y	72387S308	FLYRX			.00	0.89000		SELL ONLY
Amundi US	Pioneer Fundamental Growth Fund Class A	723695102	PIGFX	5.75		.25	1.01000		BUY,SELL
Amundi US	Pioneer Fundamental Growth Fund Class C	723695300	FUNCX		1.00	1.00	1.74000		SELL ONLY
Amundi US	Pioneer Fundamental Growth Fund Class K Shares	723695706	PFGKX			.00	0.66000		SELL ONLY
Amundi US	Pioneer Fundamental Growth Fund Class Y	723695409	FUNYX			.00	0.76000		SELL ONLY
Amundi US	Pioneer High Income Municipal Fund Class C	72387N838	HICMX		1.00	1.00	1.64000		SELL ONLY
Amundi US	Pioneer High Income Municipal Fund Class Y	72387N820	HIMYX			.00	0.70000		SELL ONLY
Amundi US	Pioneer High Yield Fund Class A	72369B109	TAHYX	4.50		.25	1.18000		BUY,SELL
Amundi US	Pioneer High Yield Fund Class C	72369B307	PYICX		1.00	1.00	1.93000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Amundi US	Pioneer High Yield Fund Class Y	72369B406	TYHYX			.00	0.90000		SELL ONLY
Amundi US	Pioneer International Equity Fund Class A	723709101	PIIFX	5.75		.25	1.17000		SELL ONLY
Amundi US	Pioneer International Equity Fund Class C	723709309	PCITX		1.00	1.00	1.88000		SELL ONLY
Amundi US	Pioneer International Equity Fund Class Y	723709507	INVYX			.00	0.91000		SELL ONLY
Amundi US	Pioneer Multi-Asset Income Fund A	72387P643	PMAIX	4.50		.25	0.85000		BUY,SELL
Amundi US	Pioneer Multi-Asset Income Fund C	72387P635	PMACX		1.00	1.00	1.62000		SELL ONLY
Amundi US	Pioneer Multi-Asset Income Fund Class K	72387P619	PMFKX			.00	0.56000		SELL ONLY
Amundi US	Pioneer Multi-Asset Income Fund Y	72387P627	PMFYX			.00	0.66000		SELL ONLY
Amundi US	Victory Pioneer Balanced Fund Class A	92648C702	AOBLX	4.50		.25	0.94000		BUY,SELL
Amundi US	Victory Pioneer Balanced Fund Class C	92648C801	PCBCX		1.00	1.00	1.69000		SELL ONLY
Amundi US	Victory Pioneer Balanced Fund Class Y	92648C876	AYBLX			.00	0.75000		SELL ONLY
Amundi US	Victory Pioneer Core Equity Fund Class A	92648C785	PIOTX	5.75		.25	0.88000		BUY,SELL
Amundi US	Victory Pioneer Core Equity Fund Class C	92648C777	PCOTX		1.00	1.00	1.67000		SELL ONLY
Amundi US	Victory Pioneer Core Equity Fund Class R6	92648C769	PCEKX			.00	0.58000		SELL ONLY
Amundi US	Victory Pioneer Core Equity Fund Class Y	92648C751	PVFX			.00	0.66000		SELL ONLY
Amundi US	Victory Pioneer Disciplined Growth Fund Class A	92648C744	PINDX	5.75		.25	0.98000		SELL ONLY
Amundi US	Victory Pioneer Disciplined Growth Fund Class C	92648C736	INDCX		1.00	1.00	1.80000		SELL ONLY
Amundi US	Victory Pioneer Disciplined Growth Fund Class R6	92648C728	INKDX			.00	0.91000		SELL ONLY
Amundi US	Victory Pioneer Disciplined Growth Fund Class Y	92648C710	INYDX			.00	0.83000		SELL ONLY
Amundi US	Victory Pioneer Equity Income Fund Class A	92648C652	PEQIX	5.75		.25	1.00000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Amundi US	Victory Pioneer Equity Income Fund Class C	92648C645	PCEQX		1.00	1.00	1.76000		SELL ONLY
Amundi US	Victory Pioneer Equity Income Fund Class R6	92648C629	PQIRX			.50	1.42000		SELL ONLY
Amundi US	Victory Pioneer Equity Income Fund Class Y	92648C611	PYEQX			.00	0.80000		SELL ONLY
Amundi US	Victory Pioneer Fund Class A	92648C512	PIODX	5.75		.25	0.93000		BUY,SELL
Amundi US	Victory Pioneer Fund Class C	92648C496	PCODX		1.00	1.00	1.73000		SELL ONLY
Amundi US	Victory Pioneer Fund Class R6	92648C470	PIOKX			.00	0.65000		SELL ONLY
Amundi US	Victory Pioneer Fund Class Y	92648C462	PYODX			.00	0.75000		SELL ONLY
Amundi US	Victory Pioneer Global Equity Fund Class A	92648C397	GLOSX	5.75		.25	1.15000		SELL ONLY
Amundi US	Victory Pioneer Global Equity Fund Class C	92648C389	GCSLX		1.00	1.00	1.89000		SELL ONLY
Amundi US	Victory Pioneer Global Equity Fund Class R6	92648C371	PGEKX			.00	0.77000		SELL ONLY
Amundi US	Victory Pioneer Global Equity Fund Class Y	92648C363	PGSYX			.00	0.89000		SELL ONLY
Amundi US	Victory Pioneer Global Growth Fund Class A	92648C355	SUGAX	5.75		.25	6.99000		SELL ONLY
Amundi US	Victory Pioneer Global Growth Fund Class C	92648C348	SUGCX		1.00	1.00	7.69000		SELL ONLY
Amundi US	Victory Pioneer Global Growth Fund Class Y	92648C330	SUGYX			.00	6.68000		SELL ONLY
Amundi US	Victory Pioneer Global Value Fund Class A	92648C322	PGSVX	5.75		.25	7.36000		SELL ONLY
Amundi US	Victory Pioneer Global Value Fund Class C	92648C314	GBVCX		1.00	1.00	8.06000		SELL ONLY
Amundi US	Victory Pioneer Global Value Fund Class Y	92648C298	PSUYX			.00	7.05000		SELL ONLY
Amundi US	Victory Pioneer Intrinsic Value Fund Class A	92648C173	PISVX	5.75		.25	9.80000		SELL ONLY
Amundi US	Victory Pioneer Intrinsic Value Fund Class C	92648C165	PVCCX		1.00	1.00	10.53000		SELL ONLY
Amundi US	Victory Pioneer Intrinsic Value Fund Class Y	92648C157	PISYX			.00	9.49000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Amundi US	Victory Pioneer Mid Cap Value Fund Class A	92648C140	PCGRX	5.75		.25	1.17000		BUY,SELL
Amundi US	Victory Pioneer Mid Cap Value Fund Class C	92648C132	PCCGX		1.00	1.00	2.00000		SELL ONLY
Amundi US	Victory Pioneer Mid Cap Value Fund Class R6	92648C124	PMCKX			.00	0.88000		SELL ONLY
Amundi US	Victory Pioneer Mid Cap Value Fund Class Y	92648C116	PYCGX			.00	0.97000		SELL ONLY
Amundi US	Victory Pioneer Multi-Asset Ultrashort Income Fund Class A	92648H503	MAFRX			.20	0.60000		SELL ONLY
Amundi US	Victory Pioneer Multi-Asset Ultrashort Income Fund Class C	92648H602	MCFRX			.50	0.91000		SELL ONLY
Amundi US	Victory Pioneer Multi-Asset Ultrashort Income Fund Class R6	92648H701	MAUKX			.00	0.37000		SELL ONLY
Amundi US	Victory Pioneer Multi-Asset Ultrashort Income Fund Class Y	92648H800	MYFRX			.00	0.46000		SELL ONLY
Amundi US	Victory Pioneer Select Mid Cap Growth Fund Class A	92648H867	PGOFX	5.75		.25	0.99000		BUY,SELL
Amundi US	Victory Pioneer Select Mid Cap Growth Fund Class C	92648H859	GOFCX		1.00	1.00	1.80000		SELL ONLY
Amundi US	Victory Pioneer Select Mid Cap Growth Fund Class R6	92648H842	PSMKX			.00	0.69000		SELL ONLY
Amundi US	Victory Pioneer Select Mid Cap Growth Fund Class Y	92648H834	GROYX			.00	0.78000		SELL ONLY
Amundi US	Victory Pioneer Short Term Income Fund Class A	92648H826	STABX			.20	0.93000		SELL ONLY
Amundi US	Victory Pioneer Short Term Income Fund Class C	92648H818	PSHCX			.50	1.03000		SELL ONLY
Amundi US	Victory Pioneer Short Term Income Fund Class R6	92648H792	STIKX			.00	0.46000		SELL ONLY
Amundi US	Victory Pioneer Short Term Income Fund Class Y	92648H784	PSHYX			.00	0.55000		SELL ONLY
Amundi US	Victory Pioneer Solutions Balanced Fund Class A	92648H776	PIALX	5.75		.25	1.03000		SELL ONLY
Amundi US	Victory Pioneer Solutions Balanced Fund Class C	92648H768	PIDCX		1.00	1.00	1.77000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Amundi US	Victory Pioneer Solutions Balanced Fund Class Y	92648H750	IMOYX			.00	0.85000		SELL ONLY
Amundi US	Victory Pioneer Strategic Income Fund Class A	92648H743	PSRAX	4.50		.25	1.11000		BUY,SELL
Amundi US	Victory Pioneer Strategic Income Fund Class C	92648H735	PSRCX		1.00	1.00	1.73000		SELL ONLY
Amundi US	Victory Pioneer Strategic Income Fund Class R6	92648H719	STRKX			.00	0.63000		SELL ONLY
Amundi US	Victory Pioneer Strategic Income Fund Class Y	92648H693	STRYX			.00	0.73000		SELL ONLY
Ariel Investments	Ariel Appreciation Fund Institutional Class	040337834	CAAIX				0.83000		SELL ONLY
Ariel Investments	Ariel Appreciation Fund Investor Class	040337206	CAAPX			.25	1.14000		SELL ONLY
Ariel Investments	Ariel Focus Fund Institutional Class	040337826	AFOYX				0.87000		SELL ONLY
Ariel Investments	Ariel Focus Fund Investor Class	04035F107	ARFFX			.25	1.18000		SELL ONLY
Ariel Investments	Ariel Fund Institutional Class	040337842	ARAIX				0.69000		SELL ONLY
Ariel Investments	Ariel Fund Investor Class	040337107	ARGFX			.25	1.00000		SELL ONLY
Ariel Investments	Ariel Global Fund Institutional Class	040337859	AGLYX				1.14000		SELL ONLY
Ariel Investments	Ariel Global Fund Investor Class	040337867	AGLOX			.25	1.53000		SELL ONLY
Ariel Investments	Ariel International Fund Investor Class	040337883	AINTX			.25	1.40000		SELL ONLY
Ariel Investments	Ariel International Institutional Class	040337875	AINIX				1.01000		SELL ONLY
Aristotle Funds	Aristotle Core Bond Fund Class I	04045F683	PLEBX				0.50000		SELL ONLY
Aristotle Funds	Aristotle Core Bond Fund Class I-2	04045F675	PLEDX				0.50000		SELL ONLY
Aristotle Funds	Aristotle Core Equity Fund CI I	04045F436	ARILX				0.65000		SELL ONLY
Aristotle Funds	Aristotle Core Equity Fund Class I-2 Shares	04045F311	AILLX				0.65000		SELL ONLY
Aristotle Funds	Aristotle Core Income Fund Class A	04045F733	PLIAX	4.25		.25	0.86000		BUY,SELL
Aristotle Funds	Aristotle Core Income Fund Class C	04045F725	PLNCX		1.00	1.00	1.61000		SELL ONLY
Aristotle Funds	Aristotle Core Income Fund Class I	04045F717	PLIIX				0.46000		SELL ONLY
Aristotle Funds	Aristotle Core Income Fund Class I-2	04045F691	PLIDX				0.56000		SELL ONLY
Aristotle Funds	Aristotle Floating Rate Income Fund Class A	04045F626	PLFLX	3.00		.25	1.06000		BUY,SELL
Aristotle Funds	Aristotle Floating Rate Income Fund Class C	04045F618	PLBCX		1.00	1.00	1.81000		SELL ONLY
Aristotle Funds	Aristotle Floating Rate Income Fund Class I	04045F592	PLFRX				0.73000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Aristotle Funds	Aristotle Floating Rate Income Fund Class I-2	04045F584	PLFDX				0.81000		SELL ONLY
Aristotle Funds	Aristotle Growth Equity Fund Class I	04045F428	ARIGX				0.71000		SELL ONLY
Aristotle Funds	Aristotle High Yield Bond Fund Class A	04045F576	PLAHX	4.25		.25	0.98000		SELL ONLY
Aristotle Funds	Aristotle High Yield Bond Fund Class C	04045F568	PLCHX		1.00	1.00	1.73000		SELL ONLY
Aristotle Funds	Aristotle High Yield Bond Fund Class I	04045F550	PLHIX				0.57000		SELL ONLY
Aristotle Funds	Aristotle High Yield Bond Fund Class I-2	04045F543	PLHYX				0.68000		SELL ONLY
Aristotle Funds	Aristotle International Equity Fund A	04045F378	ARAFX	4.25		.25	1.03000		SELL ONLY
Aristotle Funds	Aristotle International Equity Fund CI I	04045F410	ARIFX				0.78000		SELL ONLY
Aristotle Funds	Aristotle International Equity Fund Class I-2	04045F360	AIFFX				0.78000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Aggressive Growth Fund Class A	04045F840	POEAX	5.50		.25	1.08000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Aggressive Growth Fund Class C	04045F832	POCEX		1.00	1.00	1.83000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Aggressive Growth Fund Class I-2	04045F824	POEDX				0.83000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Conservative Fund Class A	04045F105	POAAX	5.50		.25	1.12000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Conservative Fund Class C	04045F204	POACX		1.00	1.00	1.87000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Conservative Fund Class I-2	04045F303	PLCDX				0.87000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Growth Fund Class A	04045F873	PODAX	5.50		.25	1.09000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Growth Fund Class C	04045F865	PODCX		1.00	1.00	1.84000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Growth Fund Class I-2	04045F857	PMADX				0.84000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Moderate Conservative Fund Class A	04045F402	POBAX	5.50		.25	1.12000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Moderate Conservative Fund Class C	04045F501	POBCX		1.00	1.00	1.87000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Aristotle Funds	Aristotle Portfolio Optimization Moderate Conservative Fund Class I-2	04045F600	PMCDX				0.87000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Moderate Fund Class A	04045F709	POCAX	5.50		.25	1.12000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Moderate Fund Class C	04045F808	POMCX		1.00	1.00	1.87000		SELL ONLY
Aristotle Funds	Aristotle Portfolio Optimization Moderate Fund Class I-2	04045F881	POMDX				0.87000		SELL ONLY
Aristotle Funds	Aristotle Short Duration Income Fund Class A	04045F774	PLADX	3.00		.25	0.76000		BUY,SELL
Aristotle Funds	Aristotle Short Duration Income Fund Class C	04045F766	PLCSX		1.00	1.00	1.51000		SELL ONLY
Aristotle Funds	Aristotle Short Duration Income Fund Class I	04045F758	PLSDX				0.40000		SELL ONLY
Aristotle Funds	Aristotle Short Duration Income Fund Class I-2	04045F741	PLDSX				0.50000		SELL ONLY
Aristotle Funds	Aristotle Small Cap Equity Fund CI A	04045F485	ARABX	4.25		.25	1.16000		SELL ONLY
Aristotle Funds	Aristotle Small Cap Equity Fund CI C	04045F477	AISBX		1.00	1.00	1.91000		SELL ONLY
Aristotle Funds	Aristotle Small Cap Equity Fund CI I	04045F469	ARIBX				0.91000		SELL ONLY
Aristotle Funds	Aristotle Small Cap Equity Fund Class I-2	04045F337	AIBBX				0.91000		SELL ONLY
Aristotle Funds	Aristotle Small/Mid Cap Equity Fund Class A	04045F535	ARAHX	4.25		.25	1.27000		SELL ONLY
Aristotle Funds	Aristotle Small/Mid Cap Equity Fund Class C	04045F527	AISHX		1.00	1.00	2.02000		SELL ONLY
Aristotle Funds	Aristotle Small/Mid Cap Equity Fund Class I	04045F519	ARIHX				0.98000		SELL ONLY
Aristotle Funds	Aristotle Small/Mid Cap Equity Fund Class I-2	04045F493	AIHHX				1.02000		SELL ONLY
Aristotle Funds	Aristotle Strategic Income Fund Class A	04045F667	PLSTX	4.25		.25	0.95000		BUY,SELL
Aristotle Funds	Aristotle Strategic Income Fund Class C	04045F659	PLCNX		1.00	1.00	1.70000		SELL ONLY
Aristotle Funds	Aristotle Strategic Income Fund Class I	04045F642	PLSRX				0.60000		SELL ONLY
Aristotle Funds	Aristotle Strategic Income Fund Class I-2	04045F634	PLSFX				0.70000		SELL ONLY
Aristotle Funds	Aristotle Ultra Short Income Class I	04045F790	PLUIX				0.35000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Aristotle Funds	Aristotle Ultra Short Income Class I-2	04045F782	PLUDX				0.36000		SELL ONLY
Aristotle Funds	Aristotle Ultra Short Income Fund Class A	04045F816	PLUAX			.25	0.58000		SELL ONLY
Aristotle Funds	Aristotle Value Equity Fund Class I-2	04045F345	AIQQX				0.69000		SELL ONLY
Aristotle Funds	Aristotle/Saul Global Equity Fund Class I-2	04045F386	AIOOX				0.79000		SELL ONLY
Artisan Partners Funds	Artisan Developing World Fund Advisor Shares	04314H618	APDYX				1.13000		SELL ONLY
Artisan Partners Funds	Artisan Developing World Fund Institutional Shares	04314H592	APHYX				1.05000		SELL ONLY
Artisan Partners Funds	Artisan Developing World Fund Investor Shares	04314H626	ARTYX				1.31000		SELL ONLY
Artisan Partners Funds	Artisan Emerging Markets Debt Opportunities Fund Advisor Shares	04314H360	APDOX				1.86000		SELL ONLY
Artisan Partners Funds	Artisan Emerging Markets Debt Opportunities Fund Institutional Shares	04314H352	APHOX				1.65000		SELL ONLY
Artisan Partners Funds	Artisan Emerging Markets Debt Opportunities Fund Investor Shares	04314H378	APFOX				3.23000		SELL ONLY
Artisan Partners Funds	Artisan Floating Rate Fund Advisor Shares	04314H394	APDUX				1.47000	2.00	SELL ONLY
Artisan Partners Funds	Artisan Floating Rate Fund Institutional Shares	04314H386	APHUX				1.29000	2.00	SELL ONLY
Artisan Partners Funds	Artisan Floating Rate Fund Investor Shares	04314H410	ARTUX				1.80000	2.00	SELL ONLY
Artisan Partners Funds	Artisan Focus Fund Advisor Shares	04314H519	APDTX				1.15000		SELL ONLY
Artisan Partners Funds	Artisan Focus Fund Institutional Shares	04314H493	APHTX				1.06000		SELL ONLY
Artisan Partners Funds	Artisan Focus Fund Investor Shares	04314H543	ARTTX				1.30000		SELL ONLY
Artisan Partners Funds	Artisan Global Discovery Fund Advisor Shares	04314H444	APDDX				1.42000		SELL ONLY
Artisan Partners Funds	Artisan Global Discovery Fund Institutional Shares	04314H527	APHDX				1.10000		SELL ONLY
Artisan Partners Funds	Artisan Global Discovery Fund Investor Shares	04314H535	APFDX				1.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Artisan Partners Funds	Artisan Global Equity Fund Advisor Shares	04314H428	APDHX				2.09000		SELL ONLY
Artisan Partners Funds	Artisan Global Equity Fund Institutional Shares	04314H584	APHHX				1.09000		SELL ONLY
Artisan Partners Funds	Artisan Global Equity Fund Investor Class	04314H816	ARTHX				1.35000		SELL ONLY
Artisan Partners Funds	Artisan Global Opportunities Fund Advisor Class	04314H691	APDRX				1.05000		SELL ONLY
Artisan Partners Funds	Artisan Global Opportunities Fund Institutional Class	04314H782	APHRX				0.95000		SELL ONLY
Artisan Partners Funds	Artisan Global Opportunities Fund Investor Class	04314H824	ARTRX				1.19000		SELL ONLY
Artisan Partners Funds	Artisan Global Unconstrained Fund Advisor Shares	04314H337	APDPX				2.04000		SELL ONLY
Artisan Partners Funds	Artisan Global Unconstrained Fund Institutional Shares	04314H329	APHPX				2.06000		SELL ONLY
Artisan Partners Funds	Artisan Global Unconstrained Fund Investor Shares	04314H345	APFPX				3.44000		SELL ONLY
Artisan Partners Funds	Artisan Global Value Fund Advisor Class	04314H683	APDGX				1.12000		SELL ONLY
Artisan Partners Funds	Artisan Global Value Fund Institutional Class	04314H741	APHGX				1.03000		SELL ONLY
Artisan Partners Funds	Artisan Global Value Fund Investor Class	04314H840	ARTGX				1.28000		SELL ONLY
Artisan Partners Funds	Artisan High Income Fund Advisor Shares	04314H717	APDFX				0.80000	2.00	SELL ONLY
Artisan Partners Funds	Artisan High Income Fund Institutional Shares	04314H568	APHFX				0.71000	2.00	SELL ONLY
Artisan Partners Funds	Artisan High Income Fund Investor Shares	04314H725	ARTFX				0.96000	2.00	SELL ONLY
Artisan Partners Funds	Artisan International Explorer Fund Advisor Shares	04314H253	ARDBX				1.46000		SELL ONLY
Artisan Partners Funds	Artisan International Explorer Fund Institutional Shares	04314H246	ARHBX				1.40000		SELL ONLY
Artisan Partners Funds	Artisan International Fund Advisor Class	04314H675	APDIX				1.05000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Artisan Partners Funds	Artisan International Fund Institutional Class	04314H402	APHIX				0.96000		SELL ONLY
Artisan Partners Funds	Artisan International Fund Investor Class	04314H204	ARTIX				1.20000		SELL ONLY
Artisan Partners Funds	Artisan International Small-Mid Fund Advisor Shares	04314H485	APDJX				1.15000		SELL ONLY
Artisan Partners Funds	Artisan International Small-Mid Fund Institutional Share	04314H576	APHJX				1.07000		SELL ONLY
Artisan Partners Funds	Artisan International Small-Mid Fund Investor Share	04314H808	ARTJX				1.32000		SELL ONLY
Artisan Partners Funds	Artisan International Value Fund Advisor Class	04314H667	APDKX				1.06000		SELL ONLY
Artisan Partners Funds	Artisan International Value Fund Institutional Class	04314H857	APHKX				0.97000		SELL ONLY
Artisan Partners Funds	Artisan International Value Fund Investor Class	04314H881	ARTKX				1.21000		SELL ONLY
Artisan Partners Funds	Artisan Mid Cap Fund Advisor Class	04314H659	APDMX				1.05000		SELL ONLY
Artisan Partners Funds	Artisan Mid Cap Fund Institutional Class	04314H600	APHMX				0.96000		SELL ONLY
Artisan Partners Funds	Artisan Mid Cap Fund Investor Class	04314H303	ARTMX				1.19000		SELL ONLY
Artisan Partners Funds	Artisan Mid Cap Value Fund Advisor Class	04314H642	APDQX				1.06000		SELL ONLY
Artisan Partners Funds	Artisan Mid Cap Value Fund Institutional Class	04314H774	APHQX				0.95000		SELL ONLY
Artisan Partners Funds	Artisan Mid Cap Value Fund Investor Class	04314H709	ARTQX				1.17000		SELL ONLY
Artisan Partners Funds	Artisan Small Cap Fund Advisor Shares	04314H550	APDSX				1.09000		SELL ONLY
Artisan Partners Funds	Artisan Small Cap Fund Institutional Shares	04314H758	APHSX				1.00000		SELL ONLY
Artisan Partners Funds	Artisan Small Cap Fund Investor Shares	04314H105	ARTSX				1.23000		SELL ONLY
Artisan Partners Funds	Artisan Sustainable Emerging Markets Fund Institutional Class	04314H865	APHEX				1.11000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Artisan Partners Funds	Artisan Sustainable Emerging Markets Fund Investor Class	04314H832	ARTZX				1.62000		SELL ONLY
Artisan Partners Funds	Artisan Value Fund Advisor Class	04314H634	APDLX				0.98000		SELL ONLY
Artisan Partners Funds	Artisan Value Fund Institutional Class	04314H790	APHLX				0.86000		SELL ONLY
Artisan Partners Funds	Artisan Value Fund Investor Class	04314H873	ARTLX				1.10000		SELL ONLY
Asset Management Group Of Bank Of Hawaii	Hawaiian Tax-Free Trust Class C	420016206	HULCX		1.00	1.00	1.68000		SELL ONLY
Asset Management Group Of Bank Of Hawaii	Hawaiian Tax-Free Trust Class F	420016602	HULFX				0.65000		SELL ONLY
Asset Management Group Of Bank Of Hawaii	Hawaiian Tax-Free Trust Class Y	420016305	HULYX				0.68000		SELL ONLY
Avantis Investors	Avantis U.S. Large Cap Value Fund Institutional Class	025072273	AVLVX				0.15000		SELL ONLY
Avantis Investors	Avantis U.S. Small Cap Equity Fund Institutional	02507A309	AVSCX				0.25000		SELL ONLY
Avantis Investors	Avantis? Core Fixed Income Fund Institutional Class	025072661	AVIGX				0.15000		SELL ONLY
Avantis Investors	Avantis? Emerging Markets Equity Fund Institutional Class	025072869	AVEEX				0.33000		SELL ONLY
Avantis Investors	Avantis? International Equity Fund Institutional Class	025072851	AVDEX				0.23000		SELL ONLY
Avantis Investors	Avantis? International Small Cap Value Fund Institutional Class	025072844	AVDVX				0.36000		SELL ONLY
Avantis Investors	Avantis? Short-Term Fixed Income Fund Institutional Class	025072653	AVSFX				0.15000		SELL ONLY
Avantis Investors	Avantis? U.S. Equity Fund Institutional Class	025072836	AVUSX				0.15000		SELL ONLY
Avantis Investors	Avantis? U.S. Small Cap Value Fund Institutional Class	025072828	AVUVX				0.25000		SELL ONLY
Ave Maria Mutual Funds	Ave Maria Bond Fund	808530505	AVEFX				0.42000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Ave Maria Mutual Funds	Ave Maria Focused Fund	808530885	AVEAX				1.09000		SELL ONLY
Ave Maria Mutual Funds	Ave Maria Growth Fund	808530307	AVEGX				0.92000		SELL ONLY
Ave Maria Mutual Funds	Ave Maria Rising Dividend Fund	808530604	AVEDX				0.92000		SELL ONLY
Ave Maria Mutual Funds	Ave Maria Value Fund	808530208	AVEMX				0.94000		SELL ONLY
Ave Maria Mutual Funds	Ave Maria World Equity Fund	808530802	AVEWX				1.05000		SELL ONLY
Azzad Fund	Azzad Ethical Fund	055060206	ADJEX			.15	1.14000		SELL ONLY
Azzad Fund	Azzad Wise Capital Fund	055060305	WISEX			.05	0.96000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Developed EAFE All Cap Fund Class I	056823321	BSGPX				0.73000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Developed EAFE All Cap Fund Class K	056823339	BGPKX				0.63000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford EAFE Plus All Cap Fund Class I	056823347	BGCSX				0.72000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford EAFE Plus All Cap Fund Class K	056823354	BKGCX				0.63000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Emerging Markets Equities Fund Class I	056823388	BGEGX				0.89000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Emerging Markets Equities Fund Class K	056823396	BGKEX				0.81000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Global Alpha Equities Fund Class I	056823255	BGASX				0.75000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Global Alpha Equities Fund Class K	056823263	BGAKX				0.65000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Alpha Fund Class I	056823362	BINSX				0.68000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Alpha Fund Class K	056823370	BGIKX				0.60000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Concentrated Growth Equities Fund Class K	056823198	BTLKX				0.89000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Baillie Gifford Funds	Baillie Gifford International Concentrated Growth Equities Fund Institutional Class	056823180	BTLSX				0.99000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Growth Fund Class I	056823412	BGESX				0.66000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Growth Fund Class K	056823420	BGEKX				0.58000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Smaller Companies Fund Class K	056823131	BICKX				1.88000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford International Smaller Companies Fund Institutional Class	056823123	BICIX				1.99000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Long Term Global Growth Fund Class I	056823297	BSGLX				0.81000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford Long Term Global Growth Fund Class K	056823313	BGLKX				0.71000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford The U.S. Equity Growth Fund Class I	056823271	BGGSX				1.10000		SELL ONLY
Baillie Gifford Funds	Baillie Gifford The U.S. Equity Growth Fund Class K	056823289	BGGKX				1.00000		SELL ONLY
Baird	Baird Aggregate Bond Fund Class Institutional	057071854	BAGIX				0.30000		SELL ONLY
Baird	Baird Aggregate Bond Fund Class Investor	057071862	BAGSX			.25	0.55000		SELL ONLY
Baird	Baird Chautauqua Global Growth Fund Institutional Class	057071581	CCGIX				0.88000		SELL ONLY
Baird	Baird Chautauqua Global Growth Fund Investor Class	057071573	CCGSX			.25	1.13000		SELL ONLY
Baird	Baird Chautauqua International Growth Fund Institutional Class	057071557	CCWIX				0.86000		SELL ONLY
Baird	Baird Chautauqua International Growth Fund Investor Class	057071565	CCWSX			.25	1.11000		SELL ONLY
Baird	Baird Core Intermediate Municipal Bond Fund Institutional Class	057071656	BMNIX				0.30000		SELL ONLY
Baird	Baird Core Intermediate Municipal Bond Fund Investor Class	057071649	BMNSX			.25	0.55000		SELL ONLY
Baird	Baird Core Plus Bond Fund Class Institutional	057071870	BCOIX				0.30000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Baird	Baird Core Plus Bond Fund Class Investor	057071888	BCOSX			.25	0.55000		SELL ONLY
Baird	Baird Equity Opportunity Fund Institutional Class	057071748	BSVIX				1.70000		SELL ONLY
Baird	Baird Intermediate Bond Fund Class Institutional	057071805	BIMIX				0.30000		SELL ONLY
Baird	Baird Intermediate Bond Fund Class Investor	057071706	BIMSX			.25	0.55000		SELL ONLY
Baird	Baird Mid Cap Growth Fund Institutional Class	057071813	BMDIX				0.82000		SELL ONLY
Baird	Baird Mid Cap Growth Fund Investor Class	057071821	BMDSX			.25	1.07000		SELL ONLY
Baird	Baird Municipal Bond Fund Institutional	057071482	BMQIX				0.30000		SELL ONLY
Baird	Baird Municipal Bond Fund Investor	057071490	BMQSX			.25	0.55000		SELL ONLY
Baird	Baird Quality Intermediate Municipal Bond Fund Class Institutional	057071607	BMBIX				0.30000		SELL ONLY
Baird	Baird Quality Intermediate Municipal Bond Fund Class Investor	057071508	BMBSX			.25	0.55000		SELL ONLY
Baird	Baird Short-Term Bond Fund Institutional Class	057071409	BSBIX				0.30000		SELL ONLY
Baird	Baird Short-Term Bond Fund Investor Class	057071730	BSBSX			.25	0.55000		SELL ONLY
Baird	Baird Short-Term Municipal Bond Fund Institutional Class	057071631	BTMIX				0.30000		SELL ONLY
Baird	Baird Short-Term Municipal Bond Fund Investor Class	057071623	BTMSX			.25	0.55000		SELL ONLY
Baird	Baird Small/Mid Cap Growth Fund Institutional Class	057071540	BSGIX				0.92000		SELL ONLY
Baird	Baird Small/Mid Cap Growth Fund Investor Class	057071532	BSGSX			.25	1.17000		SELL ONLY
Baird	Baird Strategic Municipal Bond Fund Institutional	057071516	BSNIX				0.30000		SELL ONLY
Baird	Baird Strategic Municipal Bond Fund Investor	057071524	BSNSX			.25	0.55000		SELL ONLY
Baird	Baird Ultra Short Bond Fund Institutional Class	057071722	BUBIX				0.30000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Baird	Baird Ultra Short Bond Fund Investor Class	057071714	BUBSX			.25	0.55000		SELL ONLY
Baron Capital Group, Inc.	Baron Asset Fund Institutional Class	068278605	BARIX			.00	1.04000		SELL ONLY
Baron Capital Group, Inc.	Baron Asset Fund Retail Class	068278100	BARAX			.25	1.29000		SELL ONLY
Baron Capital Group, Inc.	Baron Discovery Fund Institutional Shares	068278852	BDFIX			.00	1.05000		SELL ONLY
Baron Capital Group, Inc.	Baron Discovery Fund Retail Shares	068278860	BDFFX			.25	1.32000		SELL ONLY
Baron Capital Group, Inc.	Baron Durable Advantage Fund Institutional Shares	068278761	BDAIX			.00	0.77000		SELL ONLY
Baron Capital Group, Inc.	Baron Durable Advantage Fund Retail Shares	068278779	BDAFX			.25	1.04000		SELL ONLY
Baron Capital Group, Inc.	Baron Emerging Markets Fund Institutional Shares	06828M876	BEXIX			.00	1.11000		SELL ONLY
Baron Capital Group, Inc.	Baron Emerging Markets Fund Retail Shares	06828M884	BEXFX			.25	1.37000		SELL ONLY
Baron Capital Group, Inc.	Baron Fifth Avenue Growth Fund Institutional Class	068278878	BFTIX			.00	0.76000		SELL ONLY
Baron Capital Group, Inc.	Baron Fifth Avenue Growth Fund Retail Class	068278506	BFTHX			.25	1.03000		SELL ONLY
Baron Capital Group, Inc.	Baron FinTech Fund Institutional Shares	06828M637	BFIIX			.00	1.21000		SELL ONLY
Baron Capital Group, Inc.	Baron Focused Growth Fund Institutional Shares	06828M504	BFGIX			.00	1.06000		SELL ONLY
Baron Capital Group, Inc.	Baron Focused Growth Fund Retail Shares	06828M207	BFGFX			.25	1.32000		SELL ONLY
Baron Capital Group, Inc.	Baron Global Advantage Fund Institutional Shares	06828M835	BGAIX			.00	0.95000		SELL ONLY
Baron Capital Group, Inc.	Baron Global Advantage Fund Retail Shares	06828M843	BGAFX			.25	1.21000		SELL ONLY
Baron Capital Group, Inc.	Baron Growth Fund Institutional Shares	068278704	BGRIX			.00	1.08000		SELL ONLY
Baron Capital Group, Inc.	Baron Growth Fund Retail Shares	068278209	BGRFX			.25	1.34000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Baron Capital Group, Inc.	Baron Health Care Fund Institutional Shares	06828M660	BHCHX			.00	0.88000		SELL ONLY
Baron Capital Group, Inc.	Baron Health Care Fund Retail Shares	06828M678	BHCFX			.25	1.20000		SELL ONLY
Baron Capital Group, Inc.	Baron International Growth Fund Institutional Shares	06828M603	BINIX			.00	0.98000		SELL ONLY
Baron Capital Group, Inc.	Baron International Growth Fund Retail Shares	06828M306	BIGFX			.25	1.26000		SELL ONLY
Baron Capital Group, Inc.	Baron Opportunity Fund Institutional Class	068278886	BIOIX			.00	1.05000		SELL ONLY
Baron Capital Group, Inc.	Baron Opportunity Fund Retail Class	068278407	BIOPX			.25	1.31000		SELL ONLY
Baron Capital Group, Inc.	Baron Partners Fund Institutional Shares	06828M405	BPTIX			.00	1.99000		SELL ONLY
Baron Capital Group, Inc.	Baron Partners Fund Retail Shares	06828M108	BPTRX			.25	2.24000		SELL ONLY
Baron Capital Group, Inc.	Baron Real Estate Fund Institutional Shares	06828M801	BREIX			.00	1.06000		SELL ONLY
Baron Capital Group, Inc.	Baron Real Estate Fund Retail Shares	06828M702	BREFX			.25	1.31000		SELL ONLY
Baron Capital Group, Inc.	Baron Real Estate Income Fund Institutional Shares	06828M736	BRIIX			.00	0.96000		SELL ONLY
Baron Capital Group, Inc.	Baron Real Estate Income Fund Retail Shares	06828M744	BRIFX			.25	1.32000		SELL ONLY
Baron Capital Group, Inc.	Baron Small Cap Fund Institutional Class	068278803	BSFIX			.00	1.05000		SELL ONLY
Baron Capital Group, Inc.	Baron Small Cap Fund Retail Class	068278308	BSCFX			.25	1.30000		SELL ONLY
Baron Capital Group, Inc.	Baron Technology Fund Institutional Shares	06828M561	BTECX			.00	5.04000		SELL ONLY
Baron Capital Group, Inc.	Baron WealthBuilder Fund Institutional Shares	06828M694	BWBIX				1.22000		SELL ONLY
Baron Capital Group, Inc.	Baron WealthBuilder Fund Retail Shares	06828M710	BWBFX			.25	1.47000		SELL ONLY
Bishop Street	Bishop Street Hawaii Municipal Bond Fund Class A	091472845	BHIAX	3.00		.25	1.33000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Bishop Street	Bishop Street Hawaii Municipal Bond Fund Class Institutional	091472209	BSHIX				1.08000		SELL ONLY
BlackRock	BlackRock 20/80 Target Allocation Fund Class K	09257E753	BKCPX				0.36000		SELL ONLY
BlackRock	BlackRock 20/80 Target Allocation Fund Institutional Shares	09256H765	BICPX				0.47000		SELL ONLY
BlackRock	BlackRock 20/80 Target Allocation Fund Investor A Shares	091937177	BACPX	5.25		.25	0.75000		SELL ONLY
BlackRock	BlackRock 20/80 Target Allocation Fund Investor C Shares	091937169	BCCPX		1.00	1.00	1.45000		SELL ONLY
BlackRock	BlackRock 40/60 Target Allocation Fund Class K	09257E746	BKMPX				0.34000		SELL ONLY
BlackRock	BlackRock 40/60 Target Allocation Fund Institutional	09256H740	BIMPX				0.48000		SELL ONLY
BlackRock	BlackRock 40/60 Target Allocation Fund Investor A Shares	091937151	BAMPX	5.25		.25	0.72000		SELL ONLY
BlackRock	BlackRock 40/60 Target Allocation Fund Investor C Shares	091937144	BCMPX		1.00	1.00	1.43000		SELL ONLY
BlackRock	BlackRock 60/40 Target Allocation Fund Class K	09257E738	BKGPX				0.32000		SELL ONLY
BlackRock	BlackRock 60/40 Target Allocation Fund Institutional Shares	09256H724	BIGPX				0.48000		SELL ONLY
BlackRock	BlackRock 60/40 Target Allocation Fund Investor A Shares	091937136	BAGPX	5.25		.25	0.72000		SELL ONLY
BlackRock	BlackRock 60/40 Target Allocation Fund Investor C Shares	091937128	BCGPX		1.00	1.00	1.42000		SELL ONLY
BlackRock	BlackRock 80/20 Target Allocation Fund Class A	09256H799	BAAPX	5.25		.25	0.70000		BUY,SELL
BlackRock	BlackRock 80/20 Target Allocation Fund Class C	09256H781	BCAPX		1.00	1.00	1.46000		SELL ONLY
BlackRock	BlackRock 80/20 Target Allocation Fund Class Institutional	09256H690	BIAPX				0.51000		SELL ONLY
BlackRock	BlackRock 80/20 Target Allocation Fund Class K	09257E720	BKAPX				0.33000		SELL ONLY
BlackRock	BlackRock Advantage CoreAlpha Bond Fund Class K	09260T409	BCRKX				0.30000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Advantage CoreAlpha Bond Fund Institutional	09260T300	BCRIX				0.30000		SELL ONLY
BlackRock	BlackRock Advantage CoreAlpha Bond Fund Investor A	09260T102	BCRAX	4.00		.25	0.55000		SELL ONLY
BlackRock	BlackRock Advantage CoreAlpha Bond Fund Investor C	09260T201	BCRCX		1.00	1.00	1.30000		SELL ONLY
BlackRock	Blackrock Advantage Emerging Markets Fund Class K	09258N323	BLSKX				1.35000		SELL ONLY
BlackRock	BlackRock Advantage Emerging Markets Fund Institutional Shares	091936690	BLSIX				1.44000		SELL ONLY
BlackRock	BlackRock Advantage Emerging Markets Fund Investor A Shares	091936724	BLSAX	5.25		.25	1.78000		SELL ONLY
BlackRock	BlackRock Advantage Emerging Markets Fund Investor C Shares	091936716	BLSCX		1.00	1.00	2.59000		SELL ONLY
BlackRock	BlackRock Advantage Global Fund, Inc.Class K	09252A608	MKGCX				0.84000		SELL ONLY
BlackRock	BlackRock Advantage Global Fund, Inc.Institutional Shares	09252A509	MAGCX				0.98000		SELL ONLY
BlackRock	BlackRock Advantage Global Fund, Inc.Investor A Shares	09252A103	MDGCX	5.25		.25	1.26000		BUY,SELL
BlackRock	BlackRock Advantage Global Fund, Inc.Investor C Shares	09252A301	MCGCX		1.00	1.00	2.10000		SELL ONLY
BlackRock	BlackRock Advantage International Fund Institutional Shares	091937268	BROIX				0.70000		SELL ONLY
BlackRock	BlackRock Advantage International Fund Investor A Shares	091937243	BROAX	5.25		.25	0.92000		BUY,SELL
BlackRock	BlackRock Advantage International Fund Investor C Shares	091937227	BROCX		1.00	1.00	1.73000		SELL ONLY
BlackRock	BlackRock Advantage International Fund K	09258N315	BROKX				0.56000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Core Fund Class K	09250J718	MLRKX				0.52000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Core Fund Institutional Shares	09250J502	MALRX				0.63000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Core Fund Investor A Shares	09250J106	MDLRX	5.25		.25	0.88000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Advantage Large Cap Core Fund Investor C Shares	09250J304	MCLRX		1.00	1.00	1.69000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Growth Fund Class K	09258N299	BMCKX				0.67000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Growth Fund Institutional Shares	091928812	CMVIX				0.80000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Growth Fund Investor A Shares	091928788	BMCAx	5.25		.25	1.01000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Growth Fund Investor C Shares	091928762	BMCCX		1.00	1.00	1.83000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Value Fund Class K	09250J692	MLVKX				0.62000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Value Fund Institutional Shares	09250J817	MALVX				0.71000		SELL ONLY
BlackRock	BlackRock Advantage Large Cap Value Fund Investor A Shares	09250J858	MDLVX	5.25		.25	0.96000		BUY,SELL
BlackRock	BlackRock Advantage Large Cap Value Fund Investor C Shares	09250J833	MCLVX		1.00	1.00	1.76000		SELL ONLY
BlackRock	BlackRock Advantage Small Cap Core Fund Class K	09258N802	BDSKX				0.51000		SELL ONLY
BlackRock	BlackRock Advantage Small Cap Core Fund Institutional Shares	091936450	BDSIX				0.57000		SELL ONLY
BlackRock	BlackRock Advantage Small Cap Core Fund Investor A Shares	091936476	BDSAX	5.25		.25	0.93000		BUY,SELL
BlackRock	BlackRock Advantage Small Cap Core Fund Investor C Shares	091936468	BDSCX		1.00	1.00	1.71000		SELL ONLY
BlackRock	BlackRock Advantage Small Cap Growth Fund Class K	09258N281	PSGKX				0.64000		SELL ONLY
BlackRock	BlackRock Advantage Small Cap Growth Fund Institutional Shares	091928101	PSGIX				0.79000		SELL ONLY
BlackRock	BlackRock Advantage Small Cap Growth Fund Investor A Shares	091928309	CSGEX	5.25		.25	1.04000		BUY,SELL
BlackRock	BlackRock Advantage SMID Cap Fund, Inc.Class K	09252L604	MKSPX				0.67000		SELL ONLY
BlackRock	BlackRock Advantage SMID Cap Fund, Inc.Institutional Shares	09252L505	MASPX				0.79000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Advantage SMID Cap Fund, Inc. Investor A Shares	09252L109	MDSPX	5.25		.25	1.05000		BUY,SELL
BlackRock	BlackRock Advantage SMID Cap Fund, Inc. Investor C Shares	09252L307	MCSPX		1.00	1.00	1.96000		SELL ONLY
BlackRock	BlackRock Balanced Fund Class K	09251C605	MKCPX				0.49000		SELL ONLY
BlackRock	BlackRock Balanced Fund Institutional Shares	09251C506	MACPX				0.56000		SELL ONLY
BlackRock	BlackRock Balanced Fund Investor A Shares	09251C100	MDCPX	5.25		.25	0.81000		BUY,SELL
BlackRock	BlackRock Balanced Fund Investor C Shares	09251C308	MCCPX		1.00	1.00	1.58000		SELL ONLY
BlackRock	BlackRock California Municipal Opportunities Fund Class K	09253A664	MKCMX				0.50000		SELL ONLY
BlackRock	BlackRock California Municipal Opportunities Fund Institutional shares	09252Y606	MACMX				0.57000		SELL ONLY
BlackRock	BlackRock California Municipal Opportunities Fund Investor A1 Shares	09252Y200	MDCMX			.10	0.64000		SELL ONLY
BlackRock	BlackRock California Municipal Opportunities Fund Investor C Shares	09252Y408	MFCMX		1.00	1.00	1.56000		SELL ONLY
BlackRock	BlackRock Capital Appreciation Fund Institutional Shares	09251R503	MAFGX				0.74000		SELL ONLY
BlackRock	BlackRock Capital Appreciation Fund Investor A Shares	09251R107	MDFGX	5.25		.25	0.99000		BUY,SELL
BlackRock	BlackRock Capital Appreciation Fund Investor C Shares	09251R305	MCFGX		1.00	1.00	1.83000		SELL ONLY
BlackRock	BlackRock Capital Appreciation Fund K Shares	09251R602	BFGBX				0.64000		SELL ONLY
BlackRock	BlackRock China A Opportunities Fund Class K	09258N216	CHKLX				3.02000		SELL ONLY
BlackRock	BlackRock China A Opportunities Fund Institutional	09258N224	CHILX				3.05000		SELL ONLY
BlackRock	BlackRock Commodity Strategies Portfolio Class K	09258N273	BCSKX				0.77000		SELL ONLY
BlackRock	BlackRock Commodity Strategies Portfolio Institutional Shares	091936666	BICSX				0.87000		SELL ONLY
BlackRock	BlackRock Commodity Strategies Portfolio Investor A Shares	091936682	BCSAX	5.25		.25	1.12000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Commodity Strategies Portfolio Investor C Shares	091936674	BCSCX		1.00	1.00	1.86000		SELL ONLY
BlackRock	BlackRock Core Bond Portfolio Class K	09260B507	CCBBX				0.44000		SELL ONLY
BlackRock	BlackRock Core Bond Portfolio Institutional Shares	09260B309	BFMCX				0.56000		SELL ONLY
BlackRock	BlackRock Core Bond Portfolio Investor A Shares	09260B101	BCBAX	4.00		.25	0.80000		BUY,SELL
BlackRock	BlackRock Core Bond Portfolio Investor C Shares	09260B200	BCBCX		1.00	1.00	1.53000		SELL ONLY
BlackRock	BlackRock Defensive Advantage Emerging Markets Fund Class K	09260J716	BKDEX				3.53000		SELL ONLY
BlackRock	BlackRock Defensive Advantage Emerging Markets Fund Institutional	09260J724	BIDEX				3.59000		SELL ONLY
BlackRock	BlackRock Defensive Advantage Emerging Markets Fund Investor A	09260J732	BADEX	5.25		.25	3.86000		SELL ONLY
BlackRock	BlackRock Dynamic High Income Portfolio Class K	09257E779	BDHKX				0.79000		SELL ONLY
BlackRock	BlackRock Dynamic High Income Portfolio Institutional	09257E795	BDHIX				0.88000		SELL ONLY
BlackRock	BlackRock Dynamic High Income Portfolio Investor A	09257E829	BDHAX	5.25		.25	1.09000		SELL ONLY
BlackRock	BlackRock Dynamic High Income Portfolio Investor C	09257E811	BDHCX		1.00	1.00	1.87000		SELL ONLY
BlackRock	Blackrock Emerging Markets Ex-China Fund Class K	09261A847	MKECX				3.90000		SELL ONLY
BlackRock	Blackrock Emerging Markets Ex-China Fund Institutional	09261A854	MAECX				2.37000		SELL ONLY
BlackRock	Blackrock Emerging Markets Ex-China Fund Investor A	09261A862	MXCAX	5.25		.25	4.42000		SELL ONLY
BlackRock	BlackRock Emerging Markets Fund, Inc. Institutional Shares	09251J402	MADCX				1.01000		SELL ONLY
BlackRock	BlackRock Emerging Markets Fund, Inc. Investor A Shares	09251J105	MDDCX	5.25		.25	1.36000		BUY,SELL
BlackRock	BlackRock Emerging Markets Fund, Inc. Investor C Shares	09251J303	MCDCX		1.00	1.00	2.09000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Emerging Markets Fund, Inc. K Shares	09251J501	MKDCX				0.85000		SELL ONLY
BlackRock	BlackRock Energy Opportunities Fund Institutional Class	091937284	BACIX				1.07000		SELL ONLY
BlackRock	BlackRock Energy Opportunities Fund Investor A Class	091937334	BACAX	5.25		.25	1.36000		SELL ONLY
BlackRock	BlackRock Energy Opportunities Fund Investor C Class	091937318	BACCX		1.00	1.00	2.10000		SELL ONLY
BlackRock	BlackRock Equity Dividend Fund Institutional Shares	09251M504	MADVX				0.72000		SELL ONLY
BlackRock	BlackRock Equity Dividend Fund Investor A Shares	09251M108	MDDVX	5.25		.25	0.94000		BUY,SELL
BlackRock	BlackRock Equity Dividend Fund Investor C Shares	09251M306	MCDVX		1.00	1.00	1.70000		SELL ONLY
BlackRock	BlackRock Equity Dividend Fund K Shares	09251M801	MKDVX				0.59000		SELL ONLY
BlackRock	BlackRock Equity Dividend Fund Service Shares	09251M603	MSDVX			.25	1.02000		SELL ONLY
BlackRock	BlackRock Event Driven Equity Fund Institutional Shares	09250J734	BILPX				1.37000		SELL ONLY
BlackRock	BlackRock Event Driven Equity Fund Investor A Shares	09250J759	BALPX	5.25		.25	1.60000		SELL ONLY
BlackRock	BlackRock Event Driven Equity Fund Investor C Shares	09250J742	BCLPX		1.00	1.00	2.37000		SELL ONLY
BlackRock	BlackRock Exchange Portfolio BlackRock Shares	091937391	STSEX				0.81000		SELL ONLY
BlackRock	BlackRock Floating Rate Income Fund Class K	09260B739	BFRKX				0.64000		SELL ONLY
BlackRock	BlackRock Floating Rate Income Fund Institutional shares	09260B747	BFRIX				0.72000		SELL ONLY
BlackRock	BlackRock Floating Rate Income Fund Investor C shares	09260B762	BFRCX		1.00	1.00	1.73000		SELL ONLY
BlackRock	BlackRock Floating Rate Income Portfolio Investor A Shares	09260B770	BFRAX	2.50		.25	0.97000		BUY,SELL
BlackRock	BlackRock GA Disciplined Volatility Equity Fund Class K	561656703	BGDVX				0.62000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock GA Disciplined Volatility Equity Fund Institutional	561656877	BIDVX				0.70000		SELL ONLY
BlackRock	BlackRock GA Dynamic Equity Fund Class K	561656802	BGEEX				0.58000		SELL ONLY
BlackRock	BlackRock GA Dynamic Equity Fund Institutional	561656885	BIEEX				0.66000		SELL ONLY
BlackRock	BlackRock Global Allocation Fund, Inc. Class K	09258N778	MKLOX				0.79000		SELL ONLY
BlackRock	BlackRock Global Allocation Fund, Inc. Institutional Shares	09251T509	MALOX				0.89000		SELL ONLY
BlackRock	BlackRock Global Allocation Fund, Inc. Investor A Shares	09251T103	MDLOX	5.25		.25	1.13000		BUY,SELL
BlackRock	BlackRock Global Allocation Fund, Inc. Investor C Shares	09251T301	MCLOX		1.00	1.00	1.92000		SELL ONLY
BlackRock	BlackRock Global Dividend Portfolio Class K	09257E712	BKBDX				0.72000		SELL ONLY
BlackRock	BlackRock Global Dividend Portfolio Institutional Shares	09256H328	BIBDX				0.80000		SELL ONLY
BlackRock	BlackRock Global Dividend Portfolio Investor A Shares	09256H385	BABDX	5.25		.25	1.05000		BUY,SELL
BlackRock	BlackRock Global Dividend Portfolio Investor C Shares	09256H377	BCBDX		1.00	1.00	1.86000		SELL ONLY
BlackRock	BlackRock Global Equity Market Neutral Fund A Shares	091936542	BDMAX	5.25		.25	1.80000		SELL ONLY
BlackRock	BlackRock Global Equity Market Neutral Fund C Shares	091936534	BDMCX		1.00	1.00	2.52000		SELL ONLY
BlackRock	BlackRock Global Equity Market Neutral Fund Institutional Shares	091936526	BDMIX				1.55000		SELL ONLY
BlackRock	BlackRock Global Equity Market Neutral Fund K Shares	09258N703	BGCKX				1.45000		SELL ONLY
BlackRock	BlackRock Global Long/Short Credit Fund Class K	09260C703	BDMKX				1.38000		SELL ONLY
BlackRock	BlackRock Global Long/Short Credit Fund Institutional Shares	09260C604	BGCIX				1.47000		SELL ONLY
BlackRock	BlackRock Global Long/Short Credit Fund Investor A Shares	09260C406	BGCAX	4.00		.25	1.71000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Global Long/Short Credit Fund Investor C Shares	09260C505	BGCCX		1.00	1.00	2.48000		SELL ONLY
BlackRock	BlackRock Health Sciences Opportunities Portfolio Class K	09258N752	SHSKX				0.75000		SELL ONLY
BlackRock	BlackRock Health Sciences Opportunities Portfolio Institutional Shares	091937540	SHSSX				0.84000		SELL ONLY
BlackRock	BlackRock Health Sciences Opportunities Portfolio Investor A Shares	091937573	SHSAX	5.25		.25	1.09000		BUY,SELL
BlackRock	BlackRock Health Sciences Opportunities Portfolio Investor C Shares	091937557	SHSCX		1.00	1.00	1.86000		SELL ONLY
BlackRock	BlackRock Health Sciences Opportunities Portfolio Service Shares	091937359	SHISX			.25	1.14000		SELL ONLY
BlackRock	BlackRock High Equity Income Fund Class K	09258N141	BHEIX				0.88000		SELL ONLY
BlackRock	BlackRock High Equity Income Fund Institutional Shares	091929760	BMCIX				0.99000		SELL ONLY
BlackRock	BlackRock High Equity Income Fund Investor A Shares	091929810	BMEAX	5.25		.25	1.23000		SELL ONLY
BlackRock	BlackRock High Equity Income Fund Investor C Shares	091929786	BMECX		1.00	1.00	1.98000		SELL ONLY
BlackRock	BlackRock High Yield Portfolio Fund Class K	09260B614	BRHYX				0.49000		SELL ONLY
BlackRock	BlackRock High Yield Portfolio Fund Institutional Shares	09260B630	BHYIX				0.59000		SELL ONLY
BlackRock	BlackRock High Yield Portfolio Fund Investor A Shares	09260B663	BHYAX	4.00		.25	0.95000		BUY,SELL
BlackRock	BlackRock High Yield Portfolio Investor C Shares	09260B655	BHYCX		1.00	1.00	1.59000		SELL ONLY
BlackRock	BlackRock High Yield Portfolio Service Shares	09260B598	BHYSX			.25	0.87000		SELL ONLY
BlackRock	BlackRock Impact Mortgage Fund Class A	09260B358	CIGAX	4.00		.25	1.77000		BUY,SELL
BlackRock	BlackRock Impact Mortgage Fund Class C	09260B341	BIGCX		1.00	1.00	2.43000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Impact Mortgage Fund Class Institutional	09260B325	PNIGX				1.52000		SELL ONLY
BlackRock	BlackRock Impact Mortgage Fund Class K	09260B317	BIGLX				1.34000		SELL ONLY
BlackRock	BlackRock Impact Municipal Fund Class K	09253C686	MPKCX				1.00000		SELL ONLY
BlackRock	BlackRock Impact Municipal Fund Institutional	09253C678	MPICX				1.09000		SELL ONLY
BlackRock	BlackRock Impact Municipal Fund Investor A	09253C694	MPDCX	4.25		.25	1.28000		SELL ONLY
BlackRock	BlackRock Income Fund Class K Shares	09260B879	BMSKX				0.66000		SELL ONLY
BlackRock	BlackRock Income Fund Institutional Shares	09260B887	BMSIX				0.70000		SELL ONLY
BlackRock	BlackRock Income Fund Investor A Shares	09260B705	BMSAX	2.50		.25	0.99000		BUY,SELL
BlackRock	BlackRock Income Fund Investor C Shares	09260B804	BMSCX		1.00	1.00	1.74000		SELL ONLY
BlackRock	BlackRock Inflation Protected Bond Fund Class K	09260B549	BPLBX				0.84000		SELL ONLY
BlackRock	BlackRock Inflation Protected Bond Fund Institutional Shares	09260B556	BPRIX				1.00000		SELL ONLY
BlackRock	BlackRock Inflation Protected Bond Fund Investor A Shares	09260B572	BPRAX	4.00		.25	1.26000		BUY,SELL
BlackRock	BlackRock Inflation Protected Bond Fund Investor C Shares	09260B564	BPRCX		1.00	1.00	1.92000		SELL ONLY
BlackRock	BlackRock International Fund of BlackRock Series, Inc.Class K Shares	09248G503	MKILX				0.65000		SELL ONLY
BlackRock	BlackRock International Fund of BlackRock Series, Inc.Institutional Shares	09248G404	MAILX				0.77000		SELL ONLY
BlackRock	BlackRock International Fund of BlackRock Series, Inc.Investor A Shares	09248G107	MDILX	5.25		.25	1.04000		BUY,SELL
BlackRock	BlackRock International Fund of BlackRock Series, Inc.Investor C Shares	09248G305	MCILX		1.00	1.00	1.81000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock International Select Equity Class K	09251N700	MKEFX				1.15000		SELL ONLY
BlackRock	BlackRock International Select Equity Institutional Shares	09251N502	MAEFX				1.27000		SELL ONLY
BlackRock	BlackRock International Select Equity Investor A Shares	09251N106	MDEFX	5.25		.25	1.50000		BUY,SELL
BlackRock	BlackRock International Select Equity Investor C Shares	09251N304	MCEFX		1.00	1.00	2.34000		SELL ONLY
BlackRock	BlackRock Large Cap Focus Growth Fund Class K	09251P507	MKFOX				0.66000		SELL ONLY
BlackRock	BlackRock Large Cap Focus Growth Fund Institutional Shares	09251P408	MAFOX				0.75000		SELL ONLY
BlackRock	BlackRock Large Cap Focus Growth Fund Investor A Shares	09251P101	MDFOX	5.25		.25	1.00000		BUY,SELL
BlackRock	BlackRock Large Cap Focus Growth Fund Investor C Shares	09251P309	MCFOX		1.00	1.00	1.79000		SELL ONLY
BlackRock	BlackRock Large Cap Focus Value Fund Class K	09251G606	MBVKX				0.49000		SELL ONLY
BlackRock	BlackRock Large Cap Focus Value Fund Institutional Shares	09251G507	MABAX				0.54000		SELL ONLY
BlackRock	BlackRock Large Cap Focus Value Fund Investor A Shares	09251G101	MDBAX	5.25		.25	0.78000		BUY,SELL
BlackRock	BlackRock Large Cap Focus Value Fund Investor C Shares	09251G309	MCBAX		1.00	1.00	1.61000		SELL ONLY
BlackRock	BlackRock LifePath Dynamic 2065 Fund Institutional Shares	09260W204	LPWIX				1.18000		SELL ONLY
BlackRock	BlackRock LifePath Dynamic 2065 Fund Investor A Shares	09260W105	LPWAX	5.25		.25	1.43000		BUY,SELL
BlackRock	BlackRock LifePath Dynamic 2065 Fund Investor C Shares	09260W303	LPWCX		1.00	1.00	2.18000		SELL ONLY
BlackRock	BlackRock LifePath Index 2065 Fund Institutional Shares	066923178	LIWIX				0.20000		SELL ONLY
BlackRock	BlackRock LifePath Index 2065 Fund Investor A Shares	066923186	LIWAX			.25	0.45000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2030 Fund Class K Shares	066922576	LPSDX				0.58000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock LifePath? Dynamic 2030 Fund Institutional Shares	066922857	STLDX				0.83000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2030 Fund Investor A Shares	066922840	LPRDX	5.25		.25	1.08000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic 2030 Fund Investor C Shares	066922386	LPCNX		1.00	1.00	1.83000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2035 Fund Class K Shares	066922279	LPJKX				0.59000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2035 Fund Institutional Shares	066922253	LPJIX				0.84000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2035 Fund Investor A Shares	066922295	LPJAX	5.25		.25	1.09000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic 2035 Fund Investor C Shares	066922287	LPJCX		1.00	1.00	1.84000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2040 Fund Class K Shares	066922568	LPSFX				0.60000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2040 Fund Institutional Shares	066922832	STLEX				0.85000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2040 Fund Investor A Shares	066922824	LPREX	5.25		.25	1.10000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic 2040 Fund Investor C Shares	066922378	LPCKX		1.00	1.00	1.85000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2045 Fund Class K Shares	066922220	LPHKX				0.61000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2045 Fund Institutional Shares	066922196	LPHIX				0.86000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2045 Fund Investor A Shares	066922246	LPHAX	5.25		.25	1.11000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic 2045 Fund Investor C Shares	066922238	LPHCX		1.00	1.00	1.86000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2050 Fund Class K Shares	06739T531	LPSGX				0.62000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2050 Fund Institutional Shares	06739T556	STLFX				0.87000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2050 Fund Investor A Shares	06739T549	LPRFX	5.25		.25	1.12000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock LifePath? Dynamic 2050 Porfolio Investor C Shares	066922360	LPCPX		1.00	1.00	1.87000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2055 Fund Class K Shares	066922162	LPVKX				0.63000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2055 Fund Institutional Shares	066922147	LPVIX				0.88000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2055 Fund Investor A Shares	066922188	LPVAX	5.25		.25	1.13000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic 2055 Fund Investor C Shares	066922170	LPVCX		1.00	1.00	1.88000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2060 Fund Class K Shares	066923376	LPDKX				0.72000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2060 Fund Institutional Shares	066923392	LPDIX				0.97000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2060 Fund Investor A Shares	066923426	LPDAX	5.25		.25	1.22000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic 2060 Fund Investor C Shares	066923418	LPDCX		1.00	1.00	1.97000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2065 Fund Class K Shares	09260W501	LPWKX				0.93000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2070 Fund Class K	09260W519	LPYKX				1.23000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2070 Fund Institutional	09260W535	LPYIX				1.48000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2070 Fund Investor A	09260W550	LPYAX	5.25		.25	1.73000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic 2070 Fund Investor C	09260W543	LPYCX		1.00	1.00	2.48000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic Retirement Fund Class K Shares	066922618	LPSAX				0.57000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic Retirement Fund Institutional Shares	066922600	STLAX				0.82000		SELL ONLY
BlackRock	BlackRock LifePath? Dynamic Retirement Fund Investor A Shares	066922709	LPRAX	5.25		.25	1.07000		BUY,SELL
BlackRock	BlackRock LifePath? Dynamic Retirement Fund Investor C Shares	066922410	LPCRX		1.00	1.00	1.82000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock LifePath? ESG Index 2070 Fund Class K	09260W436	LEYKX				1.18000		SELL ONLY
BlackRock	BlackRock LifePath? ESG Index 2070 Fund Institutional	09260W444	LEYIX				1.23000		SELL ONLY
BlackRock	BlackRock LifePath? ESG Index 2070 Fund Investor A	09260W451	LEYAX			.25	1.48000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2030 Fund Class K Shares	066923798	LINKX				0.13000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2030 Fund Institutional Shares	066923814	LINIX				0.18000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2030 Fund Investor A Shares	066923822	LINAX			.25	0.43000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2035 Fund Class K Shares	066923764	LIJKX				0.14000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2035 Fund Institutional Shares	066923772	LIJIX				0.19000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2035 Fund Investor A Shares	066923780	LIJAX			.25	0.44000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2040 Fund Class K Shares	066923731	LIKKX				0.14000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2040 Fund Institutional Shares	066923749	LIKIX				0.19000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2040 Fund Investor A Shares	066923756	LIKAX			.25	0.44000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2045 Fund Class K Shares	066923699	LIHKX				0.14000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2045 Fund Institutional Shares	066923715	LIHIX				0.19000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2045 Fund Investor A Shares	066923723	LIHAX			.25	0.44000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2050 Fund Class K Shares	066923665	LIPKX				0.14000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2050 Fund Institutional Shares	066923673	LIPIX				0.19000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2050 Fund Investor A Shares	066923681	LIPAX			.25	0.44000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock LifePath? Index 2055 Fund Class K Shares	066923632	LIVKX				0.14000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2055 Fund Institutional Shares	066923640	LIVIX				0.19000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2055 Fund Investor A Shares	066923657	LIVAX			.25	0.44000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2060 Fund Class K Shares	066923442	LIZKX				0.14000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2060 Fund Investor A Shares	066923475	LIZAX			.25	0.44000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2065 Fund Class K Shares	066923152	LIWKX				0.15000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2070 Fund Class K	09260W477	LIYKX				0.33000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2070 Fund Institutional	09260W485	LIYIX				0.38000		SELL ONLY
BlackRock	BlackRock LifePath? Index 2070 Fund Investor A	09260W493	LIYAX			.25	0.63000		SELL ONLY
BlackRock	BlackRock LifePath? Index Retirement Fund Class K Shares	066923806	LIRKX				0.13000		SELL ONLY
BlackRock	BlackRock LifePath? Index Retirement Fund Institutional Shares	066923707	LIRIX				0.18000		SELL ONLY
BlackRock	BlackRock LifePath? Index Retirement Fund Investor A Shares	066923608	LIRAX			.25	0.43000		SELL ONLY
BlackRock	BlackRock Low Duration Bond Portfolio Class K	09260B440	CLDBX				0.38000		SELL ONLY
BlackRock	BlackRock Low Duration Bond Portfolio Institutional Shares	09260B465	BFMSX				0.45000		SELL ONLY
BlackRock	BlackRock Low Duration Bond Portfolio Investor A Shares	09260B523	BLDAX	2.25		.25	0.71000		BUY,SELL
BlackRock	BlackRock Low Duration Bond Portfolio Investor A1 Shares	09260B515	CMGAX	1.00	0.50	.10	0.63000		SELL ONLY
BlackRock	BlackRock Low Duration Bond Portfolio Investor C Shares	09260B499	BLDCX		1.00	1.00	1.46000		SELL ONLY
BlackRock	BlackRock Managed Income Fund Class K Shares	091937193	BLDRX				0.63000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Managed Income Fund Institutional Shares	091937185	BLDIX				0.72000		SELL ONLY
BlackRock	BlackRock Managed Income Fund Investor A Shares	091937219	BLADX	4.00		.25	0.92000		BUY,SELL
BlackRock	BlackRock Managed Income Fund Investor C Shares	09257E688	BMICX		1.00	1.00	1.69000		SELL ONLY
BlackRock	BlackRock Mid-Cap Growth Equity Portfolio Class K	09258N604	BMGKX				0.71000		SELL ONLY
BlackRock	BlackRock Mid-Cap Growth Equity Portfolio Institutional Shares	091928861	CMGIX				0.85000		SELL ONLY
BlackRock	BlackRock Mid-Cap Growth Equity Portfolio Investor A Shares	091928846	BMGAX	5.25		.25	1.13000		BUY,SELL
BlackRock	BlackRock Mid-Cap Growth Equity Portfolio Investor C Shares	091928820	BMGCX		1.00	1.00	1.84000		SELL ONLY
BlackRock	BlackRock Mid-Cap Growth Equity Portfolio Service Shares	091928853	CMGSX			.25	1.12000		SELL ONLY
BlackRock	BlackRock Mid-Cap Value Fund Class K	09255V609	MJRFX				0.73000		SELL ONLY
BlackRock	BlackRock Mid-Cap Value Fund Institutional Shares	09255V500	MARFX				0.83000		SELL ONLY
BlackRock	BlackRock Mid-Cap Value Fund Investor A Shares	09255V104	MDRFX	5.25		.25	1.10000		BUY,SELL
BlackRock	BlackRock Mid-Cap Value Fund Investor C Shares	09255V302	MCRFX		1.00	1.00	1.89000		SELL ONLY
BlackRock	BlackRock Mortgage-Backed Securities Fund Class K	09260B689	BBGPX				0.53000		SELL ONLY
BlackRock	BlackRock Mortgage-Backed Securities Fund Institutional Shares	09260B697	BGNIX				0.66000		SELL ONLY
BlackRock	BlackRock Mortgage-Backed Securities Fund Investor A Shares	09260B721	BGPAX	4.00		.25	0.90000		SELL ONLY
BlackRock	BlackRock Mortgage-Backed Securities Fund Investor C Shares	09260B713	BGPCX		1.00	1.00	1.62000		SELL ONLY
BlackRock	BlackRock Multi-Asset Income Portfolio Class K	09257E662	BKMIX				0.62000		SELL ONLY
BlackRock	BlackRock Multi-Asset Income Portfolio Institutional Shares	09256H336	BIICX				0.68000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Multi-Asset Income Portfolio Investor A Shares	09256H351	BAICX	5.25		.25	0.92000		BUY,SELL
BlackRock	BlackRock Multi-Asset Income Portfolio Investor C Shares	09256H344	BCICX		1.00	1.00	1.69000		SELL ONLY
BlackRock	BlackRock National Municipal Fund Institutional Shares	09253C876	MANLX				0.57000		SELL ONLY
BlackRock	BlackRock National Municipal Fund Investor C Shares	09253C801	MFNLX		1.00	1.00	1.56000		SELL ONLY
BlackRock	BlackRock National Municipal Fund K Share	09253C744	BNMLX				0.49000		SELL ONLY
BlackRock	BlackRock National Municipal Fund Service Share	09253C751	BNMSX			.25	0.83000		SELL ONLY
BlackRock	BlackRock Natural Resources Trust Institutional Shares	09252H405	MAGRX				0.90000		SELL ONLY
BlackRock	BlackRock Natural Resources Trust Investor A Shares	09252H108	MDGRX	5.25		.25	1.17000		SELL ONLY
BlackRock	BlackRock Natural Resources Trust Investor C Shares	09252H306	MCGRX		1.00	1.00	1.89000		SELL ONLY
BlackRock	BlackRock New Jersey Municipal Bond Fund Class K	09253A656	MKNJX				0.65000		SELL ONLY
BlackRock	BlackRock New Jersey Municipal Bond Fund Institutional Shares	09253A847	MANJX				0.74000		SELL ONLY
BlackRock	BlackRock New Jersey Municipal Bond Fund Investor A1 Shares	09253A805	MDNJX			.10	0.79000		SELL ONLY
BlackRock	BlackRock New Jersey Municipal Bond Fund Investor C Shares	09253A862	MFNJX		1.00	1.00	1.70000		SELL ONLY
BlackRock	BlackRock New Jersey Municipal Bond Fund Service Shares	09253A839	MSNJX			.25	0.97000		SELL ONLY
BlackRock	BlackRock New York Municipal Opportunities Fund Class K	09253A631	MKNKX				0.73000		SELL ONLY
BlackRock	BlackRock New York Municipal Opportunities Fund Institutional Shares	09253A763	MANKX				0.81000		SELL ONLY
BlackRock	BlackRock New York Municipal Opportunities Fund Investor A1 Shares	09253A813	MDNKX			.10	0.88000		SELL ONLY
BlackRock	BlackRock New York Municipal Opportunities Fund Investor C Shares	09253A789	MFNKX		1.00	1.00	1.80000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Pennsylvania Municipal Bond Fund Class K	09253A649	MKPYX				0.64000		SELL ONLY
BlackRock	BlackRock Pennsylvania Municipal Bond Fund Institutional Shares	09253A680	MAPYX				0.78000		SELL ONLY
BlackRock	BlackRock Pennsylvania Municipal Bond Fund Investor A1 Shares	09253A748	MDPYX			.10	0.82000		SELL ONLY
BlackRock	BlackRock Pennsylvania Municipal Bond Fund Investor C Shares	09253A714	MFPYX		1.00	1.00	1.72000		SELL ONLY
BlackRock	BlackRock Pennsylvania Municipal Bond Fund Service Shares	09253A672	MSPYX			.25	0.95000		SELL ONLY
BlackRock	BlackRock Real Estate Securities Fund Institutional Shares	091936583	BIREX				1.10000		SELL ONLY
BlackRock	BlackRock Real Estate Securities Fund Investor A Shares	091936617	BAREX	5.25		.25	1.24000		SELL ONLY
BlackRock	BlackRock Real Estate Securities Fund Investor C Shares	091936591	BCREX		1.00	1.00	2.13000		SELL ONLY
BlackRock	BlackRock Short Duration Muni Fund Class K	09253C793	MPLMX				0.37000		SELL ONLY
BlackRock	BlackRock Short Duration Muni Fund Institutional Shares	09253C819	MALMX				0.48000		SELL ONLY
BlackRock	BlackRock Short Duration Muni Fund Investor A1 Shares	09253C850	MDLMX			.10	0.53000		SELL ONLY
BlackRock	BlackRock Short Duration Muni Fund Investor C Shares	09253C835	MFLMX		1.00	1.00	1.47000		SELL ONLY
BlackRock	BlackRock Short Obligations Fund Class K	091936658	BBSOX				0.35000		SELL ONLY
BlackRock	BlackRock Short Obligations Fund Institutional Shares	091936419	BISOX				0.39000		SELL ONLY
BlackRock	BlackRock Short Obligations Fund Investor A Shares	09258N240	BASOX			.25	0.63000		SELL ONLY
BlackRock	BlackRock SMID-Cap Growth Equity Fund Class K	09260J674	BSDKX				1.02000		SELL ONLY
BlackRock	BlackRock SMID-Cap Growth Equity Fund Institutional	09260J690	BSMDX				1.12000		SELL ONLY
BlackRock	BlackRock SMID-Cap Growth Equity Fund Investor A	09260J682	BSDAX	5.25		.25	1.37000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Strategic Global Bond Fund, Inc. Class K	09252X608	MKWIX				0.65000		SELL ONLY
BlackRock	BlackRock Strategic Global Bond Fund, Inc. Institutional Shares	09252X509	MAWIX				0.80000		SELL ONLY
BlackRock	BlackRock Strategic Global Bond Fund, Inc. Investor A Shares	09252X103	MDWIX	4.00		.25	1.11000		BUY,SELL
BlackRock	BlackRock Strategic Global Bond Fund, Inc. Investor C Shares	09252X301	MHWIX		1.00	1.00	1.76000		SELL ONLY
BlackRock	BlackRock Strategic Income Opportunities Portfolio Class K	09260B374	BSIKX				0.66000		SELL ONLY
BlackRock	BlackRock Strategic Income Opportunities Portfolio Institutional Shares	09260B382	BSIIX				0.75000		SELL ONLY
BlackRock	BlackRock Strategic Income Opportunities Portfolio Investor A Shares	09260B416	BASIX	4.00		.25	1.00000		BUY,SELL
BlackRock	BlackRock Strategic Income Opportunities Portfolio Investor C Shares	09260B390	BSICX		1.00	1.00	1.73000		SELL ONLY
BlackRock	Blackrock Strategic Municipal Opp Fd Of Blackrock Muni Series Tr Class K	09253E807	MKMTX				0.65000		SELL ONLY
BlackRock	Blackrock Strategic Municipal Opp Fd Of Blackrock Muni Series Tr Institutional Shares	09253E609	MAMTX				0.73000		SELL ONLY
BlackRock	Blackrock Strategic Municipal Opp Fd Of Blackrock Muni Series Tr Investor A1	09253E203	MDMTX			.10	0.80000		SELL ONLY
BlackRock	Blackrock Strategic Municipal Opp Fd Of Blackrock Muni Series Tr Investor C Shares	09253E401	MFMTX		1.00	1.00	1.71000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage Emerging Markets Equity Fund Class K	09260J856	BLZKX				4.10000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage Emerging Markets Equity Fund Institutional	09260J864	BLZIX				4.20000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Sustainable Advantage Emerging Markets Equity Fund Investor A	09260J872	BLZAX	5.25		.25	4.48000		SELL ONLY
BlackRock	Blackrock Sustainable Advantage Global Equity Fund Class K	09260J518	MKSCX				3.49000		SELL ONLY
BlackRock	Blackrock Sustainable Advantage Global Equity Fund Institutional	09260J534	MDSCX				3.84000		SELL ONLY
BlackRock	Blackrock Sustainable Advantage Global Equity Fund Investor A	09260J526	MASCX	5.25		.25	4.29000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage International Equity Fund Class K	09260J823	BRZKX				2.98000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage International Equity Fund Institutional	09260J849	BRZIX				3.07000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage International Equity Fund Investor A	09260J831	BRZAX	5.25		.25	3.41000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage Large Cap Core Fund Class K	09258N406	BIRKX				0.50000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage Large Cap Core Fund Institutional Shares	091936120	BIRIX				0.61000		SELL ONLY
BlackRock	BlackRock Sustainable Advantage Large Cap Core Fund Investors A Shares	091936146	BIRAX	5.25		.25	0.84000		BUY,SELL
BlackRock	BlackRock Sustainable Advantage Large Cap Core Fund Investors C Shares	091936138	BIRCX		1.00	1.00	1.60000		SELL ONLY
BlackRock	BlackRock Sustainable Emerging Markets Equity Fund Class K	09252J609	MPCKX				1.09000		SELL ONLY
BlackRock	BlackRock Sustainable Emerging Markets Equity Fund Institutional Shares	09252J500	MAPCX				1.23000		SELL ONLY
BlackRock	BlackRock Sustainable Emerging Markets Equity Fund Investor A Shares	09252J104	MDPCX	5.25		.25	1.48000		BUY,SELL
BlackRock	BlackRock Sustainable High Yield Bond Fund Class K	09260B259	BSHKX				1.38000		SELL ONLY
BlackRock	BlackRock Sustainable High Yield Bond Fund Institutional	09260B267	BSIHX				1.41000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Sustainable High Yield Bond Fund Investor A	09260B275	BSHAX	4.00		.25	1.85000		SELL ONLY
BlackRock	BlackRock Sustainable Total Return Fund Class K	092482405	BKSTX				1.59000		SELL ONLY
BlackRock	BlackRock Sustainable Total Return Fund Institutional	092482306	BISTX				1.60000		SELL ONLY
BlackRock	BlackRock Sustainable Total Return Fund Investor A	092482207	BASTX	4.00		.25	1.98000		SELL ONLY
BlackRock	BlackRock Systematic Multi-Strategy Fund Class K	09260C851	BKMBX				0.82000		SELL ONLY
BlackRock	BlackRock Systematic Multi-Strategy Fund Institutional Shares	09260C307	BIMBX				0.93000		SELL ONLY
BlackRock	BlackRock Systematic Multi-Strategy Fund Investor A Shares	09260C109	BAMBX	4.00		.25	1.21000		SELL ONLY
BlackRock	BlackRock Systematic Multi-Strategy Fund Investor C Shares	09260C208	BMBCX		1.00	1.00	1.89000		SELL ONLY
BlackRock	BlackRock Tactical Opportunities Fund Class K Shares	09258N570	PBAKX				0.69000		SELL ONLY
BlackRock	BlackRock Tactical Opportunities Fund Institutional Shares	091927848	PBAIX				0.82000		SELL ONLY
BlackRock	BlackRock Tactical Opportunities Fund Investor A	091927822	PCBAX	5.25		.25	1.09000		SELL ONLY
BlackRock	BlackRock Tactical Opportunities Fund Investor C Shares	091927798	BRBCX		1.00	1.00	1.80000		SELL ONLY
BlackRock	BlackRock Tactical Opportunities Fund Service Shares	091927830	PCBSX			.25	1.09000		SELL ONLY
BlackRock	BlackRock Technology Opportunities Fund Class K	09258N158	BTEKX				0.85000		SELL ONLY
BlackRock	BlackRock Technology Opportunities Fund Institutional Shares	091929612	BGSIX				0.97000		SELL ONLY
BlackRock	BlackRock Technology Opportunities Fund Investor A Shares	091929570	BGSAX	5.25		.25	1.21000		BUY,SELL
BlackRock	BlackRock Technology Opportunities Fund Investor C Shares	091929596	BGSCX		1.00	1.00	1.97000		SELL ONLY
BlackRock	BlackRock Technology Opportunities Fund Service Shares	091929620	BSTSX			.25	1.21000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	BlackRock Total Return Fund Class K Shares	09252M743	MPHQX				0.38000		SELL ONLY
BlackRock	BlackRock Total Return Fund Institutional Shares	09252M883	MAHQX				0.47000		SELL ONLY
BlackRock	BlackRock Total Return Fund Investor A Shares	09252M107	MDHQX	4.00		.25	0.75000		BUY,SELL
BlackRock	BlackRock Total Return Fund Investor A1 Shares	09252M206	MEHQX	1.00		.10	0.69000		SELL ONLY
BlackRock	BlackRock Total Return Fund Investor C Shares	09252M503	MFHQX		1.00	1.00	1.51000		SELL ONLY
BlackRock	BlackRock Total Return Fund Service Shares	09252M768	MSHQX			.25	0.78000		SELL ONLY
BlackRock	Blackrock U.S. Insights Long/Short Equity Fund Class K	09260J567	BKLSX				2.84000		SELL ONLY
BlackRock	Blackrock U.S. Insights Long/Short Equity Fund Institutional	09260J542	BILSX				2.93000		SELL ONLY
BlackRock	Blackrock U.S. Insights Long/Short Equity Fund Investor A	09260J559	BALSX	5.25		.25	3.14000		SELL ONLY
BlackRock	BlackRock Unconstrained Equity Fund Class K Shares	09251W601	MKEAX				1.05000		SELL ONLY
BlackRock	BlackRock Unconstrained Equity Fund Institutional Shares	09251W403	MAEGX				0.96000		SELL ONLY
BlackRock	BlackRock Unconstrained Equity Fund Investor A Shares	09251W106	MDEGX	5.25		.25	1.22000		BUY,SELL
BlackRock	BlackRock Unconstrained Equity Fund Investor C Shares	09251W304	MCEGX		1.00	1.00	2.05000		SELL ONLY
BlackRock	BlackRock US Mortgage Portfolio Institutional Shares	56166L303	MSUMX				0.62000		SELL ONLY
BlackRock	BlackRock US Mortgage Portfolio Investor A Shares	56166L105	BMPAX	4.00		.25	0.91000		SELL ONLY
BlackRock	BlackRock US Mortgage Portfolio Investor C Shares	56166L204	BMPCX		1.00	1.00	1.66000		SELL ONLY
BlackRock	iShares Developed Real Estate Index Fund Class K	091936187	BKRDY				0.14000		SELL ONLY
BlackRock	iShares Developed Real Estate Index Fund Institutional Shares	091936195	BIRDY				0.20000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	iShares Developed Real Estate Index Fund Investor A Shares	091936211	BARDX			.25	0.60000		SELL ONLY
BlackRock	iShares MSCI EAFE International Index Fund Class K	09253F879	BTMKX				0.05000		SELL ONLY
BlackRock	iShares MSCI EAFE International Index Fund Institutional Shares	09253F408	MAIIX				0.10000		SELL ONLY
BlackRock	iShares MSCI EAFE International Index Fund Investor A Shares	09253F309	MDIIX			.25	0.35000		BUY,SELL
BlackRock	iShares MSCI Total International Index Fund Class K	066923590	BDOKX				0.12000		SELL ONLY
BlackRock	iShares MSCI Total International Index Fund Institutional Shares	066923616	BDOIX				0.18000		SELL ONLY
BlackRock	iShares MSCI Total International Index Fund Investor A Shares	066923624	BDOAX			.25	0.43000		SELL ONLY
BlackRock	iShares Municipal Bond Index Fund Class K	09258N331	BIDKX				0.27000		SELL ONLY
BlackRock	iShares Municipal Bond Index Fund Institutional	09258N349	BIDIX				0.25000		SELL ONLY
BlackRock	iShares Municipal Bond Index Fund Investor A Shares	09258N356	BIDAX			.25	0.55000		SELL ONLY
BlackRock	iShares Russell 1000 Large-Cap Index Fund Class K	066923301	BRGKX				0.07000		SELL ONLY
BlackRock	iShares Russell 1000 Large-Cap Index Fund Institutional Shares	066923202	BRGNX				0.13000		SELL ONLY
BlackRock	iShares Russell 1000 Large-Cap Index Fund Investor A Shares	066923103	BRGAX			.25	0.35000		SELL ONLY
BlackRock	iShares Russell 2000 Small-Cap Index Fund Class K	09253F887	BDBKX				0.07000		SELL ONLY
BlackRock	iShares Russell 2000 Small-Cap Index Fund Institutional Shares	09253F804	MASKX				0.13000		SELL ONLY
BlackRock	iShares Russell 2000 Small-Cap Index Fund Investor A Shares	09253F705	MDSKX			.25	0.42000		SELL ONLY
BlackRock	iShares Russell Mid-Cap Index Fund Class K	091936286	BRMKX				0.04000		SELL ONLY
BlackRock	iShares Russell Mid-Cap Index Fund Institutional Shares	091936294	BRMIX				0.09000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BlackRock	iShares Russell Mid-Cap Index Fund Investor A Shares	09258N307	BRMAX			.25	0.36000		SELL ONLY
BlackRock	iShares Russell Small/Mid-Cap Index Fund Class K	091936229	BSMKX				0.10000		SELL ONLY
BlackRock	iShares Russell Small/Mid-Cap Index Fund Institutional Shares	091936237	BSMIX				0.14000		SELL ONLY
BlackRock	iShares Russell Small/Mid-Cap Index Fund Investor A Shares	091936245	BSMAX			.25	0.41000		SELL ONLY
BlackRock	iShares S&P 500 Index Fund Class K	066922204	WFSPX				0.03000		SELL ONLY
BlackRock	iShares S&P 500 Index Fund Institutional Shares	066923558	BSPIX				0.10000		SELL ONLY
BlackRock	iShares S&P 500 Index Fund Investor A Shares	066923566	BSPAX			.25	0.35000		SELL ONLY
BlackRock	iShares S&P 500 Index Fund Service Shares	066923533	BSPSX			.15	0.22000		SELL ONLY
BlackRock	iShares Short-Term TIPS Bond Index Fund Class K	09258N869	BKIPX				0.18000		SELL ONLY
BlackRock	iShares Total U.S. Stock Market Index Fund Class K	091936153	BKTSX				0.03000		SELL ONLY
BlackRock	iShares Total U.S. Stock Market Index Fund Institutional Shares	091936161	BITSX				0.07000		SELL ONLY
BlackRock	iShares Total U.S. Stock Market Index Fund Investor A Shares	091936179	BASMX			.25	0.34000		SELL ONLY
BlackRock	iShares U.S. Aggregate Bond Index Fund Class K	066922105	WFBIX				0.05000		SELL ONLY
BlackRock	iShares U.S. Aggregate Bond Index Fund Institutional Shares	066923509	BMOIX				0.10000		SELL ONLY
BlackRock	iShares U.S. Aggregate Bond Index Fund Investor A Shares	066923400	BMOAX			.25	0.35000		SELL ONLY
BNY Mellon	BNY Mellon Active MidCap Fund - Class A	05587K105	DNLDX	5.75			1.15000		SELL ONLY
BNY Mellon	BNY Mellon Active MidCap Fund - Class C	05587K204	DNLCX		1.00	.75	2.06000		SELL ONLY
BNY Mellon	BNY Mellon Active MidCap Fund - Class I	05587K501	DNLRX				0.95000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon Active MidCap Fund - Class Y	05587K873	DNLYX				0.85000		SELL ONLY
BNY Mellon	BNY Mellon AMT-Free Municipal Bond Fund - Class A	05588R505	DMUAX	4.50			0.68000		SELL ONLY
BNY Mellon	BNY Mellon AMT-Free Municipal Bond Fund - Class C	05588R703	DMUCX		1.00	.75	1.48000		SELL ONLY
BNY Mellon	BNY Mellon AMT-Free Municipal Bond Fund - Class I	05588R604	DMBIX				0.43000		SELL ONLY
BNY Mellon	BNY Mellon AMT-Free Municipal Bond Fund - Class Y	05588R406	DMUYX				0.41000		SELL ONLY
BNY Mellon	BNY Mellon AMT-Free Municipal Bond Fund - Class Z	05588R208	DRMBX				0.49000		SELL ONLY
BNY Mellon	BNY Mellon Appreciation Fund, Inc. - Class I	05589Q308	DGIGX				0.66000		SELL ONLY
BNY Mellon	BNY Mellon Appreciation Fund, Inc. - Class Y	05589Q209	DGYGX				0.59000		SELL ONLY
BNY Mellon	BNY Mellon Appreciation Fund, Inc. - Investor Shares	05589Q100	DGAGX				0.89000		SELL ONLY
BNY Mellon	BNY Mellon Balanced Opportunity Fund - Class A	09662F106	DBOAX	5.75			1.26000		SELL ONLY
BNY Mellon	BNY Mellon Balanced Opportunity Fund - Class C	09662F205	DBOCX		1.00	.75	2.03000		SELL ONLY
BNY Mellon	BNY Mellon Balanced Opportunity Fund - Class J	09662F403	THPBX				1.04000		SELL ONLY
BNY Mellon	BNY Mellon Balanced Opportunity Fund - Class Y	09662F601	DBOYX				1.17000		SELL ONLY
BNY Mellon	BNY Mellon Balanced Opportunity Fund - Class Z	09662F700	DBOZX				1.09000		SELL ONLY
BNY Mellon	BNY Mellon Balanced Opportunity Fund - Class I	09662F304	DBORX				1.01000		SELL ONLY
BNY Mellon	BNY Mellon Bond Market Index Fund - Class I	05589K855	DBIRX				0.16000		SELL ONLY
BNY Mellon	BNY Mellon Bond Market Index Fund - Investor Shares	05589K848	DBMIX			.25	0.41000		SELL ONLY
BNY Mellon	BNY Mellon California AMT-Free Municipal Bond Fund, Inc. - Class A	05587E109	DCAAX	4.50			0.89000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon California AMT-Free Municipal Bond Fund, Inc. - Class C	05587E208	DCACX		1.00	.75	1.68000		SELL ONLY
BNY Mellon	BNY Mellon California AMT-Free Municipal Bond Fund, Inc. - Class I	05587E406	DCMIX				0.66000		SELL ONLY
BNY Mellon	BNY Mellon California AMT-Free Municipal Bond Fund, Inc. - Class Y	05587E505	DCAYX				0.64000		SELL ONLY
BNY Mellon	BNY Mellon California AMT-Free Municipal Bond Fund, Inc. - Class Z	05587E307	DRCAx				0.69000		SELL ONLY
BNY Mellon	BNY Mellon Core Plus Fund Class A	05580W866	DCPAX	4.50			0.72000		SELL ONLY
BNY Mellon	BNY Mellon Core Plus Fund Class C	05580W858	DCPCX		1.00	.75	1.52000		SELL ONLY
BNY Mellon	BNY Mellon Core Plus Fund Class I	05580W841	DCPIX				0.47000		SELL ONLY
BNY Mellon	BNY Mellon Core Plus Fund Class Y	05580W833	DCPYX				0.40000		SELL ONLY
BNY Mellon	BNY Mellon Developed Markets Real Estate Securities Fund - Class A	05588F816	DRLAX	5.75			1.77000		SELL ONLY
BNY Mellon	BNY Mellon Developed Markets Real Estate Securities Fund - Class C	05588F824	DGBCX		1.00	.75	2.42000		SELL ONLY
BNY Mellon	BNY Mellon Developed Markets Real Estate Securities Fund - Class I	05588F832	DRLIX				1.15000		SELL ONLY
BNY Mellon	BNY Mellon Developed Markets Real Estate Securities Fund - Class Y	05588F709	DRLYX				1.08000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Total Return Fund Class A	05587N109	AVGAX	5.75			2.09000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Total Return Fund Class C	05587N208	AVGCX		1.00	.75	2.90000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Total Return Fund Class I	05587N307	AVGRX				1.82000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Total Return Fund Class Y	05587N505	AVGYX				1.78000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Value Fund Class A	05587N679	DAGVX	5.75			0.95000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Value Fund Class C	05587N661	DCGVX		1.00	.75	1.71000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon Dynamic Value Fund Class I	05587N653	DRGVX				0.73000		SELL ONLY
BNY Mellon	BNY Mellon Dynamic Value Fund Class Y	05587N703	DRGYX				0.64000		SELL ONLY
BNY Mellon	BNY Mellon Equity Income Fund Class A	05588E801	DQIAX	5.75			1.02000		SELL ONLY
BNY Mellon	BNY Mellon Equity Income Fund Class C	05588E702	DQICX		1.00	.75	1.81000		SELL ONLY
BNY Mellon	BNY Mellon Equity Income Fund Class I	05588E603	DQIRX				0.80000		SELL ONLY
BNY Mellon	BNY Mellon Equity Income Fund Class Y	05588E207	DQIYX				0.75000		SELL ONLY
BNY Mellon	BNY Mellon Floating Rate Income Fund - Class A	05589K707	DFLAX	2.50			1.04000		SELL ONLY
BNY Mellon	BNY Mellon Floating Rate Income Fund - Class C	05589K608	DFLCX		1.00	.75	1.86000		SELL ONLY
BNY Mellon	BNY Mellon Floating Rate Income Fund - Class I	05589K509	DFLIX				0.77000		SELL ONLY
BNY Mellon	BNY Mellon Floating Rate Income Fund - Class Y	05589K400	DFLYX				0.75000		SELL ONLY
BNY Mellon	BNY Mellon Global Dynamic Bond Income Fund - Class A	05587N802	DGDAX	4.50			1.13000		SELL ONLY
BNY Mellon	BNY Mellon Global Dynamic Bond Income Fund - Class C	05587N885	DGDCX		1.00	.75	2.33000		SELL ONLY
BNY Mellon	BNY Mellon Global Dynamic Bond Income Fund - Class I	05587N877	DGDIX				0.84000		SELL ONLY
BNY Mellon	BNY Mellon Global Dynamic Bond Income Fund - Class Y	05587N851	DGDYX				0.76000		SELL ONLY
BNY Mellon	BNY Mellon Global Emerging Markets Fund - Class A	05588L102	DGEAX	5.75			1.32000		SELL ONLY
BNY Mellon	BNY Mellon Global Emerging Markets Fund - Class C	05588L201	DGECX		1.00	.75	2.12000		SELL ONLY
BNY Mellon	BNY Mellon Global Emerging Markets Fund - Class I	05588L300	DGIEX				1.07000		SELL ONLY
BNY Mellon	BNY Mellon Global Emerging Markets Fund - Class Y	05588L409	DGEYX				0.97000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon Global Equity Income Fund - Class A	05588E504	DEQAX	5.75			1.24000		SELL ONLY
BNY Mellon	BNY Mellon Global Equity Income Fund - Class C	05588E405	DEQCX		1.00	.75	2.00000		SELL ONLY
BNY Mellon	BNY Mellon Global Equity Income Fund - Class I	05588E306	DQEIX				0.96000		SELL ONLY
BNY Mellon	BNY Mellon Global Equity Income Fund - Class Y	05588E777	DEQYX				0.92000		SELL ONLY
BNY Mellon	BNY Mellon Global Fixed Income Fund - Class A	05588D100	DHGAX	4.50			0.85000		SELL ONLY
BNY Mellon	BNY Mellon Global Fixed Income Fund - Class C	05588D209	DHGCX		1.00	.75	1.60000		SELL ONLY
BNY Mellon	BNY Mellon Global Fixed Income Fund - Class I	05586X801	SDGIX				0.54000		SELL ONLY
BNY Mellon	BNY Mellon Global Fixed Income Fund - Class Y	05588D761	DSDYX				0.47000		SELL ONLY
BNY Mellon	BNY Mellon Global Real Return Fund - Class A	05587N844	DRRAX	5.75			1.24000		SELL ONLY
BNY Mellon	BNY Mellon Global Real Return Fund - Class C	05587N836	DRRCX		1.00	.75	2.00000		SELL ONLY
BNY Mellon	BNY Mellon Global Real Return Fund - Class I	05587N828	DRRIX				0.99000		SELL ONLY
BNY Mellon	BNY Mellon Global Real Return Fund - Class Y	05587N794	DRRYX				0.90000		SELL ONLY
BNY Mellon	BNY Mellon Global Stock Fund - Class A	05587K683	DGLAX	5.75			1.22000		SELL ONLY
BNY Mellon	BNY Mellon Global Stock Fund - Class C	05587K691	DGLCX		1.00	.75	2.06000		SELL ONLY
BNY Mellon	BNY Mellon Global Stock Fund - Class I	05587K717	DGLRX				0.91000		SELL ONLY
BNY Mellon	BNY Mellon Global Stock Fund - Class Y	05587K840	DGLYX				0.90000		SELL ONLY
BNY Mellon	BNY Mellon Growth Fund Class I	05586X702	SSETX				2.85000		SELL ONLY
BNY Mellon	BNY Mellon High Yield Fund - Class A	05588E835	DPLTX	4.50		.25	0.97000		SELL ONLY
BNY Mellon	BNY Mellon High Yield Fund - Class C	05588E843	PTHIX		1.00	1.00	1.72000		SELL ONLY
BNY Mellon	BNY Mellon High Yield Fund - Class I	05588E850	DLHRX				0.72000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon High Yield Municipal Bond Fund - Class C	05588R877	DHYCX		1.00	.75	1.85000		SELL ONLY
BNY Mellon	BNY Mellon High Yield Municipal Bond Fund - Class Y	05588R109	DHYYX				0.81000		SELL ONLY
BNY Mellon	BNY Mellon High Yield Municipal Bond Fund - Class Z	05588R851	DHMBX			.12	0.94000		SELL ONLY
BNY Mellon	BNY Mellon High Yield Municipal Bond Fund- Class I	05588R885	DYBIX				0.83000		SELL ONLY
BNY Mellon	BNY Mellon Institutional S&P 500 Stock Index Fund Class I	05589K863	DSPIX				0.22000		SELL ONLY
BNY Mellon	BNY Mellon Intermediate Municipal Bond Fund	05588V100	DITEX				0.62000		SELL ONLY
BNY Mellon	BNY Mellon International Bond Fund Class A	05588E868	DIBAX	4.50			1.21000		SELL ONLY
BNY Mellon	BNY Mellon International Bond Fund Class C	05588E876	DIBCX		1.00	.75	1.94000		SELL ONLY
BNY Mellon	BNY Mellon International Bond Fund Class I	05588E884	DIBRX				0.84000		SELL ONLY
BNY Mellon	BNY Mellon International Bond Fund Class Y	05588E108	DIBYX				0.74000		SELL ONLY
BNY Mellon	BNY Mellon International Core Equity Fund Class A	09661F107	DIEAX	5.75			1.53000		SELL ONLY
BNY Mellon	BNY Mellon International Core Equity Fund Class C	09661F206	DIECX		1.00	.75	2.45000		SELL ONLY
BNY Mellon	BNY Mellon International Core Equity Fund Class I	09661F305	DIERX				1.29000		SELL ONLY
BNY Mellon	BNY Mellon International Core Equity Fund Class Y	09661F602	DIEYX				1.15000		SELL ONLY
BNY Mellon	BNY Mellon International Equity Fund Class A	05588D845	NIEAX	5.75			1.23000		SELL ONLY
BNY Mellon	BNY Mellon International Equity Fund Class C	05588D852	NIECX		1.00	.75	2.13000		SELL ONLY
BNY Mellon	BNY Mellon International Equity Fund Class I	05588D837	SNIEX				0.95000		SELL ONLY
BNY Mellon	BNY Mellon International Equity Fund Class Y	05588D753	NIEYX				0.89000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon International Stock Fund Class A	05587K725	DISAX	5.75			1.23000		BUY,SELL
BNY Mellon	BNY Mellon International Stock Fund Class C	05587K733	DISCX		1.00	.75	1.98000		SELL ONLY
BNY Mellon	BNY Mellon International Stock Fund Class I	05587K741	DISRX				0.93000		SELL ONLY
BNY Mellon	BNY Mellon International Stock Fund Class Y	05587K857	DISYX				0.89000		SELL ONLY
BNY Mellon	BNY Mellon International Stock Index Fund Class I	09661L203	DINIX				0.36000		SELL ONLY
BNY Mellon	BNY Mellon International Stock Index Fund Investor Shares	09661L500	DIISX				0.61000		SELL ONLY
BNY Mellon	BNY Mellon Large Cap Equity Fund Class A	05588F840	DLQAX	5.75			1.09000		SELL ONLY
BNY Mellon	BNY Mellon Large Cap Equity Fund Class C	05588F857	DEYCX		1.00	.75	2.12000		SELL ONLY
BNY Mellon	BNY Mellon Large Cap Equity Fund Class I	05588F865	DLQIX				0.80000		SELL ONLY
BNY Mellon	BNY Mellon Large Cap Equity Fund Class Y	05588F501	DLACX				0.77000		SELL ONLY
BNY Mellon	BNY Mellon Large Cap Securities Inc	05588K104	DREVX				0.71000		SELL ONLY
BNY Mellon	BNY Mellon MidCap Index Fund Class I	05588M100	DMIDX				0.26000		SELL ONLY
BNY Mellon	BNY Mellon MidCap Index Fund Investor Shares	05588M209	PESPX				0.51000		SELL ONLY
BNY Mellon	BNY Mellon Natural Resources Fund Class A	05587A834	DNLAX	5.75			1.16000		SELL ONLY
BNY Mellon	BNY Mellon Natural Resources Fund Class C	05587A842	DLDCX		1.00	.75	1.87000		SELL ONLY
BNY Mellon	BNY Mellon Natural Resources Fund Class I	05587A859	DLDRX				0.75000		SELL ONLY
BNY Mellon	BNY Mellon Natural Resources Fund Class Y	05587A867	DLDYX				0.80000		SELL ONLY
BNY Mellon	BNY Mellon New Jersey Municipal Bond Fund, Inc. Class A	05587D101	DRNJX	4.50			0.82000		SELL ONLY
BNY Mellon	BNY Mellon New Jersey Municipal Bond Fund, Inc. Class C	05587D200	DCNJX		1.00	.75	1.77000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon New Jersey Municipal Bond Fund, Inc. Class I	05587D408	DNMIX				0.58000		SELL ONLY
BNY Mellon	BNY Mellon New Jersey Municipal Bond Fund, Inc. Class Y	05587D507	DNJYX				0.58000		SELL ONLY
BNY Mellon	BNY Mellon New Jersey Municipal Bond Fund, Inc. Class Z	05587D309	DZNXJ				0.66000		SELL ONLY
BNY Mellon	BNY Mellon New York AMT-Free Municipal Bond Fund Class A	05588G301	PSNYX	4.50			0.86000		SELL ONLY
BNY Mellon	BNY Mellon New York AMT-Free Municipal Bond Fund Class C	05588G400	PNYCX		1.00	.75	1.66000		SELL ONLY
BNY Mellon	BNY Mellon New York AMT-Free Municipal Bond Fund Class I	05588G509	DNYIX				0.63000		SELL ONLY
BNY Mellon	BNY Mellon New York AMT-Free Municipal Bond Fund Class Y	05588G103	DNYYX				0.63000		SELL ONLY
BNY Mellon	BNY Mellon New York AMT-Free Municipal Bond Fund Class Z	05588G707	DNYAX				0.66000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Midcap Value Fund Class A	05587N646	DMCVX	5.75			1.17000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Midcap Value Fund Class C	05587N786	DVLCX		1.00	.75	1.98000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Midcap Value Fund Class I	05587N778	DVLIX				0.97000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Midcap Value Fund Class Y	05587N752	DMCYX				0.86000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Municipal Securities Fund Class A	05589A105	PTEBX	4.50			0.76000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Municipal Securities Fund Class C	05589A204	DMBCX		1.00	.75	1.55000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Municipal Securities Fund Class I	05589A402	DMBVX				0.52000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Municipal Securities Fund Class Y	05589A501	DMBYX				0.48000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Municipal Securities Fund Class Z	05589A303	DMBZX				0.72000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Small Cap Fund Class I	05587N745	DOPIX				0.99000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon Opportunistic Small Cap Fund Class Y	05587N737	DSCYX				0.86000		SELL ONLY
BNY Mellon	BNY Mellon Opportunistic Small Cap Fund Investor Shares	05587N638	DSCVX				1.16000		SELL ONLY
BNY Mellon	BNY Mellon Research Growth Fund, Inc. Class A	05588Q200	DWOA X	5.75			1.10000		SELL ONLY
BNY Mellon	BNY Mellon Research Growth Fund, Inc. Class C	05588Q309	DWOC X		1.00	.75	1.93000		SELL ONLY
BNY Mellon	BNY Mellon Research Growth Fund, Inc. Class I	05588Q408	DWOIX				0.86000		SELL ONLY
BNY Mellon	BNY Mellon Research Growth Fund, Inc. Class Y	05588Q507	DRYQX				0.80000		SELL ONLY
BNY Mellon	BNY Mellon Research Growth Fund, Inc. Class Z	05588Q101	DREQX				0.87000		SELL ONLY
BNY Mellon	BNY Mellon S&P 500 Index Fund	09661L302	PEOPX				0.51000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Income Fund Class A	05600G602	BYSAX	2.50			0.99000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Income Fund Class D	05600G107	DSTIX				0.91000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Income Fund Class I	05600G701	BYSIX				0.67000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Income Fund Class Y	05600G800	BYSYX				0.68000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Municipal Bond Fund Class A	05589J304	DMBAX	2.50			0.71000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Municipal Bond Fund Class D	05589J106	DSIBX			.10	0.54000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Municipal Bond Fund Class I	05589J205	DIMIX				0.47000		SELL ONLY
BNY Mellon	BNY Mellon Short Term Municipal Bond Fund Class Y	05589J403	DMYBX				0.47000		SELL ONLY
BNY Mellon	BNY Mellon Small Cap Growth Fund Class Y	05588D787	SSYGX				2.68000		SELL ONLY
BNY Mellon	BNY Mellon Small Cap Stock Index Fund Class I	09661L104	DISIX				0.26000		SELL ONLY
BNY Mellon	BNY Mellon Small Cap Stock Index Fund Investor Shares	09661L401	DISSX				0.51000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon Small Cap Value Fund Class A	05588D308	RUDAX	5.75			1.45000		SELL ONLY
BNY Mellon	BNY Mellon Small Cap Value Fund Class C	05588D407	BOSCX		1.00	.75	2.36000		SELL ONLY
BNY Mellon	BNY Mellon Small Cap Value Fund Class I	05586X884	STSVX				1.11000		SELL ONLY
BNY Mellon	BNY Mellon Small Cap Value Fund Class Y	05588D506	BOSYX				1.05000		SELL ONLY
BNY Mellon	BNY Mellon Small/Mid Cap Growth Fund Class A	05586X108	DBMAX	5.75			1.02000		SELL ONLY
BNY Mellon	BNY Mellon Small/Mid Cap Growth Fund Class C	05588D720	DBMCX		1.00	.75	1.84000		SELL ONLY
BNY Mellon	BNY Mellon Small/Mid Cap Growth Fund Class I	05586X405	SDSCX				0.77000		SELL ONLY
BNY Mellon	BNY Mellon Small/Mid Cap Growth Fund Class Y	05588D795	DBMYX				0.67000		SELL ONLY
BNY Mellon	BNY Mellon Small/Mid Cap Growth Fund Class Z	05588D829	DBMZX			.16	0.88000		SELL ONLY
BNY Mellon	BNY Mellon Sustainable U.S. Equity Fund Class A	09661D102	DTCAX	5.75			1.00000		SELL ONLY
BNY Mellon	BNY Mellon Sustainable U.S. Equity Fund Class C	09661D201	DTCCX		1.00	.75	1.87000		SELL ONLY
BNY Mellon	BNY Mellon Sustainable U.S. Equity Fund Class I	09661D300	DRTCX				0.72000		SELL ONLY
BNY Mellon	BNY Mellon Sustainable U.S. Equity Fund Class Y	09661D508	DTCYX				0.73000		SELL ONLY
BNY Mellon	BNY Mellon Sustainable U.S. Equity Fund Class Z	09661D409	DRTHX				0.77000		SELL ONLY
BNY Mellon	BNY Mellon Technology Growth Fund Class A	05587N588	DTGRX	5.75			1.18000		SELL ONLY
BNY Mellon	BNY Mellon Technology Growth Fund Class C	05587N570	DTGCX		1.00	.75	2.01000		SELL ONLY
BNY Mellon	BNY Mellon Technology Growth Fund Class I	05587N562	DGVRX				0.97000		SELL ONLY
BNY Mellon	BNY Mellon Technology Growth Fund Class Y	05587N687	DTEYX				0.86000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon	BNY Mellon Worldwide Growth Fund Class A	05588J107	PGROX	5.75			1.12000		BUY,SELL
BNY Mellon	BNY Mellon Worldwide Growth Fund Class C	05588J206	PGRCX		1.00	.75	1.89000		SELL ONLY
BNY Mellon	BNY Mellon Worldwide Growth Fund Class I	05588J305	DPWRX				0.91000		SELL ONLY
BNY Mellon	BNY Mellon Worldwide Growth Fund Class Y	05588J404	DPRIX				0.81000		SELL ONLY
BNY Mellon	BNY Mellon Yield Enhancement Strategy Fund - Class I	05588L805	DABKX				0.86000		SELL ONLY
BNY Mellon	BNY Mellon Yield Enhancement Strategy Fund - Class Y	05588L888	DABJX				0.81000		SELL ONLY
BNY Mellon	BNY Mellon Yield Enhancement Strategy Fund Class A	05588L607	DABMX	4.50			1.40000		SELL ONLY
BNY Mellon	BNY Mellon Yield Enhancement Strategy Fund Class C	05588L706	DABLX		1.00	.75	1.98000		SELL ONLY
BNY Mellon Funds	BNY Mellon Asset Allocation Fund Class M	05569M657	MPBLX				0.91000		SELL ONLY
BNY Mellon Funds	BNY Mellon Asset Allocation Fund Investor Class	05569M640	MIBLX				1.16000		SELL ONLY
BNY Mellon Funds	BNY Mellon Bond Fund Class Investor	05569M822	MIBDX				0.82000		SELL ONLY
BNY Mellon Funds	BNY Mellon Bond Fund Class M	05569M830	MPBFX				0.57000		SELL ONLY
BNY Mellon Funds	BNY Mellon Corporate Bond Fund Class M Shares	05569M368	BYMMX				0.60000		SELL ONLY
BNY Mellon Funds	BNY Mellon Corporate Bond Fund Investor Shares	05569M350	BYMIX				0.85000		SELL ONLY
BNY Mellon Funds	BNY Mellon Emerging Markets Fund Class Investor	05569M848	MIEGX				1.77000		SELL ONLY
BNY Mellon Funds	BNY Mellon Emerging Markets Fund Class M	05569M855	MEMKX				1.52000		SELL ONLY
BNY Mellon Funds	BNY Mellon Income Stock Fund Class A	05569M343	BMIAX	5.75			1.27000		SELL ONLY
BNY Mellon Funds	BNY Mellon Income Stock Fund Class C	05569M335	BMISX		1.00	.75	2.02000		SELL ONLY
BNY Mellon Funds	BNY Mellon Income Stock Fund Class I	05569M327	BMIIX				0.97000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon Funds	BNY Mellon Income Stock Fund Class M	05569M301	MPISX				0.90000		SELL ONLY
BNY Mellon Funds	BNY Mellon Income Stock Fund Class Y	05569M319	BMIYX				0.93000		SELL ONLY
BNY Mellon Funds	BNY Mellon Income Stock Fund Investor shares	05569M400	MIISX				1.15000		SELL ONLY
BNY Mellon Funds	BNY Mellon Intermediate Bond Fund Class Investor	05569M798	MIIDX				0.84000		SELL ONLY
BNY Mellon Funds	BNY Mellon Intermediate Bond Fund Class M	05569M814	MPIBX				0.59000		SELL ONLY
BNY Mellon Funds	BNY Mellon International Fund Class Investor	05569M863	MIINX				1.33000		SELL ONLY
BNY Mellon Funds	BNY Mellon International Fund Class M	05569M871	MPITX				1.08000		SELL ONLY
BNY Mellon Funds	BNY Mellon MA Intermediate Municipal Bond Fund Class Investor	05569M673	MMBIX				0.85000		SELL ONLY
BNY Mellon Funds	BNY Mellon MA Intermediate Municipal Bond Fund Class M	05569M681	MMBMX				0.60000		SELL ONLY
BNY Mellon Funds	BNY Mellon Mid Cap Multi-Strategy Fund Class Investor	05569M608	MIMSX				1.18000		SELL ONLY
BNY Mellon Funds	BNY Mellon Mid Cap Multi-Strategy Fund Class M	05569M509	MPMCX				0.93000		SELL ONLY
BNY Mellon Funds	BNY Mellon Municipal Opportunities Fund Class Investor	05569M483	MOTIX				0.96000		SELL ONLY
BNY Mellon Funds	BNY Mellon Municipal Opportunities Fund Class M	05569M491	MOTMX				0.71000		SELL ONLY
BNY Mellon Funds	BNY Mellon National Intermediate Municipal Bond Fund Class Investor	05569M756	MINMX				0.78000		SELL ONLY
BNY Mellon Funds	BNY Mellon National Intermediate Municipal Bond Fund Class M	05569M764	MPNIX				0.53000		SELL ONLY
BNY Mellon Funds	BNY Mellon National Short Term Municipal Bond Fund Class Investor	05569M723	MINSX				0.80000		SELL ONLY
BNY Mellon Funds	BNY Mellon National Short Term Municipal Bond Fund Class M	05569M731	MPSTX				0.55000		SELL ONLY
BNY Mellon Funds	BNY Mellon New York Intermediate Tax-Exempt Bond Fund Class M	05569M525	MNYMX				0.81000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
BNY Mellon Funds	BNY Mellon New York Intermediate Tax-Exempt Bond Fund Investor Shares	05569M517	MNYIX				1.06000		SELL ONLY
BNY Mellon Funds	BNY Mellon Pennsylvania Intermediate Municipal Bond Fund Class Investor	05569M699	MIPAX				1.07000		SELL ONLY
BNY Mellon Funds	BNY Mellon Pennsylvania Intermediate Municipal Bond Fund Class M	05569M715	MPPIX				0.82000		SELL ONLY
BNY Mellon Funds	BNY Mellon Short Term U.S. Government Securities Fund Class Investor	05569M772	MISTX				0.90000		SELL ONLY
BNY Mellon Funds	BNY Mellon Short Term U.S. Government Securities Fund Class M	05569M780	MPSUX				0.65000		SELL ONLY
BNY Mellon Funds	BNY Mellon Small Cap Multi-Strategy Fund Class Investor	05569M889	MISCX				1.31000		SELL ONLY
BNY Mellon Funds	BNY Mellon Small Cap Multi-Strategy Fund Class M	05569M806	MPSSX				1.06000		SELL ONLY
Bridge Builder	Bridge Builder Core Bond Fund	10803R108	BBTBX				0.34000		SELL ONLY
Bridge Builder	Bridge Builder Core Plus Bond Fund	10803R702	BBCPX				0.46000		SELL ONLY
Bridge Builder	Bridge Builder International Equity Fund	10803R603	BBIEIX				0.63000		SELL ONLY
Bridge Builder	Bridge Builder Large Cap Growth Fund	10803R207	BBGLX				0.45000		SELL ONLY
Bridge Builder	Bridge Builder Large Cap Value Fund	10803R306	BBVLX				0.46000		SELL ONLY
Bridge Builder	Bridge Builder Municipal Bond Fund	10803R801	BBMUX				0.38000		SELL ONLY
Bridge Builder	Bridge Builder Municipal High-Income Bond Fund	10803R827	BBMHX				0.43000		SELL ONLY
Bridge Builder	Bridge Builder Small/Mid Cap Growth Fund	10803R405	BBGSX				0.66000		SELL ONLY
Bridge Builder	Bridge Builder Small/Mid Cap Value Fund	10803R504	BBVSX				0.68000		SELL ONLY
Bridge Builder	Bridge Builder Tax Managed International Equity Fund	10803R835	BBTIX				0.65000		SELL ONLY
Bridge Builder	Bridge Builder Tax Managed Large Cap Fund	10803R850	BBTLX				0.46000		SELL ONLY
Bridge Builder	Bridge Builder Tax Managed Small/Mid Cap Fund	10803R843	BBTSX				0.68000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Brown Advisory	Brown Advisory Sustainable International Leaders Fund Institutional Shares	115233272	BAILX				1.19000	1.00	SELL ONLY
Brown Advisory	Brown Advisory Sustainable International Leaders Fund Investor Shares	115233264	BISLX				1.34000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory - Beutel Goodman Large-Cap Value Fund Institutional Shares	115233421	BVALX				0.55000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory - Beutel Goodman Large-Cap Value Fund Investor Shares	115233314	BIAVX				0.70000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Emerging Markets Select Fund Advisor Shares	115233637	BAQAX			.25	1.50000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Emerging Markets Select Fund Institutional Shares	115233652	BAFQX				1.10000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Emerging Markets Select Fund Investor Shares	115233645	BIAQX				1.25000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Flexible Equity Fund Advisor Shares	115233850	BAFAX			.25	0.93000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Flexible Equity Fund Institutional Shares	115233843	BAFFX				0.53000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Flexible Equity Fund Investor Shares	115233868	BIAFX				0.68000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Global Leaders Fund Institutional Shares	115233355	BAFLX				0.76000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Global Leaders Fund Investor Shares	115233462	BIALX				0.91000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Growth Equity Fund Advisor Shares	115233603	BAGAX			.25	1.09000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Growth Equity Fund Institutional Shares	115233702	BAFGX			.00	0.69000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Growth Equity Fund Investor Shares	115233504	BIAGX			.00	0.84000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Intermediate Income Advisor Shares	115233736	BAIAX			.25	0.84000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Intermediate Income Fund Investor Shares	115233744	BIAIX				0.59000	1.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Brown Advisory Funds	Brown Advisory Maryland Bond Fund Investor Shares	115233751	BIAMX				0.49000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Mid-Cap Growth Fund Institutional Class	115233413	BAFMX				0.85000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Mid-Cap Growth Fund Investor Class	115233439	BMIDX				1.00000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Mortgage Securities Fund Institutional Shares	115233546	BAFZX				0.46000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Mortgage Securities Fund Investor Shares	115233587	BIAZX				0.51000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Small-Cap Fundamental Value Fund Advisor Shares	115233785	BAUAX			.25	1.35000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Small-Cap Fundamental Value Fund Institutional Shares	115233777	BAUUX				0.95000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Small-Cap Fundamental Value Fund Investor Shares	115233793	BIAUX				1.10000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Small-Cap Growth Fund Advisor Shares	115233827	BASAX			.25	1.37000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Small-Cap Growth Fund Institutional Shares	115233819	BAFSX				0.97000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Small-Cap Growth Fund Investor Shares	115233835	BIASX				1.12000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Sustainable Bond Fund Institutional Shares	115233389	BAISX				0.43000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Sustainable Bond Fund Investor Shares	115233447	BASBX				0.48000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Sustainable Growth Fund Advisor Shares	115233405	BAWAX			.25	1.01000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Sustainable Growth Fund Institutional Shares	115233207	BAFWX				0.61000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Sustainable Growth Fund Investor Shares	115233306	BIAWX				0.76000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Sustainable Small-Cap Core Fund Institutional Shares	115233298	BAFYX				1.08000	1.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Brown Advisory Funds	Brown Advisory Sustainable Small-Cap Core Fund Investor Shares	115233280	BIAYX				1.23000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Tax Exempt Bond Fund Institutional Shares	115233371	BTEIX				0.41000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Tax Exempt Bond Fund Investor Shares	115233108	BIAEX				0.46000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory Tax-Exempt Sustainable Bond Fund Investor Shares	115233348	BITEX				0.48000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory WMC Strategic European Equity Fund Advisor Shares	115233595	BAHAX			.25	1.46000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory WMC Strategic European Equity Fund Institutional Shares	115233629	BAFHX				1.06000	1.00	SELL ONLY
Brown Advisory Funds	Brown Advisory WMC Strategic European Equity Fund Investor Shares	115233611	BIAHX				1.21000	1.00	SELL ONLY
Brown Capital Management	Brown Capital Management International All Company Fund Institutional Shares	115291767	BCISX				1.64000		SELL ONLY
Brown Capital Management	Brown Capital Management International All Company Fund Investor Shares	115291858	BCIIX			.25	1.88000		SELL ONLY
Brown Capital Management	Brown Capital Management International Small Company Fund Institutional Shares	115291759	BCSFX				1.06000		SELL ONLY
Brown Capital Management	Brown Capital Management International Small Company Fund Investor Shares	115291742	BCSVX			.25	1.31000		SELL ONLY
Brown Capital Management	Brown Capital Management Small Company Fund Institutional Shares	115291403	BCSSX				1.11000		SELL ONLY
Brown Capital Management	Brown Capital Management Small Company Fund Investor Shares	115291833	BCSIX			.20	1.31000		SELL ONLY
Buffalo	Buffalo Blue Chip Growth Fund	119628105	BUFEX				0.89000		SELL ONLY
Buffalo	Buffalo Blue Chip Growth Fund Institutional Class	119530830	BUIEX				0.79000		SELL ONLY
Buffalo	Buffalo Early Stage Growth Fund	119530301	BUFOX				1.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Buffalo	Buffalo Early Stage Growth Fund Institutional Class	119530889	BUIOX				1.35000		SELL ONLY
Buffalo	Buffalo Flexible Allocation Fund	119428100	BUFBX				1.01000		SELL ONLY
Buffalo	Buffalo Flexible Allocation Fund Institutional Class	119530871	BUIBX				0.86000		SELL ONLY
Buffalo	Buffalo Growth & Income Fund	119530608	BUFDX				0.94000		SELL ONLY
Buffalo	Buffalo Growth & Income Fund Institutional Class	119530806	BUIDX				0.79000		SELL ONLY
Buffalo	Buffalo Growth Fund	119826105	BUFGX				0.87000		SELL ONLY
Buffalo	Buffalo Growth Fund Institutional Class	119530863	BIIGX				0.77000		SELL ONLY
Buffalo	Buffalo High Yield Fund	119539104	BUFHX				1.03000		SELL ONLY
Buffalo	Buffalo High Yield Fund Institutional Class	119530855	BUIHX				0.87000		SELL ONLY
Buffalo	Buffalo International Fund	119530509	BUFIX				1.05000		SELL ONLY
Buffalo	Buffalo International Fund Institutional Class	119530848	BUIIX				0.90000		SELL ONLY
Buffalo	Buffalo Mid Cap Discovery Fund	119530103	BUFTX				1.01000		SELL ONLY
Buffalo	Buffalo Mid Cap Discovery Fund Institutional Class	119530707	BUITX				0.87000		SELL ONLY
Buffalo	Buffalo Mid Cap Growth Fund	119530202	BUFMX				0.97000		SELL ONLY
Buffalo	Buffalo Mid Cap Growth Fund Institutional Class	119530822	BUIMX				0.87000		SELL ONLY
Buffalo	Buffalo Small Cap Growth Fund	119804102	BUFSX				0.97000		SELL ONLY
Buffalo	Buffalo Small Cap Growth Fund Institutional Class	119530814	BUISX				0.87000		SELL ONLY