

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Gabelli	Comstock Capital Value Fund Class A	205763402	DRCVX	5.75		.25	6.09000	2.00	SELL ONLY
Gabelli	Gabelli ABC Fund Class AAA	36239V108	GABCX				0.73000	2.00	SELL ONLY
Gabelli	Gabelli ABC Fund Class Advisor	36239V207	GADVX			.25	0.98000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class A	362395204	GATAX	5.75		.25	1.36000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class AAA	362395105	GABAX			.25	1.36000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class C	362395402	GATCX		1.00	1.00	2.11000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class I	362395501	GABIX				1.11000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class A	36240D204	GBCAX	5.75		.25	2.49000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class AAA	36240D105	GABBX			.25	2.49000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class C	36240D402	GBCCX		1.00	1.00	3.24000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class Institu	36240D501	GBCIX				2.24000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisition	29372K625	EMAAX	5.75		.25	1.73000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisition	362402109	EAAAX			.25	1.73000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisition	29372K617	EMABX		5.00	1	2.2100	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisition	29372K591	EMACX		1.00	1.00	2.48000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisition	29372K583	EMAYX				1.48000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class A	36239T707	GCAEX	5.75		.25	1.48000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class AAA	36239T202	GABEX			.25	1.48000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class C	36239T889	GCCEX		1.00	1.00	2.23000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class Instituti	36239T848	GCIEX				1.23000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class A	362401200	ESGHX	5.75		.25	1.94000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class AAA	362401101	ESGGX			.25	1.94000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class C	362401309	ESGJX		1.00	1.00	2.69000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class I	362401408	ESGKX				1.69000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund	36239T400	GWSAX	5.75		.25	1.64000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund	36239T301	GWSVX			.25	1.64000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund	36239T608	GWSCX		1.00	1.00	2.39000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund	36239T822	GWSIX				1.39000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fun	36464T208	GTCAX	5.75		.25	1.77000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fun	36464T109	GABTX			.25	1.77000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fun	36464T406	GTCCX		1.00	1.00	2.52000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fun	36464T794	GTTIX				1.52000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Cla	36239T764	GGFSX	5.75		.25	2.51000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Cla	36239T772	GAFSX			.25	2.51000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Cla	36239T756	GCFSX		1.00	1.00	3.26000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Cla	36239T749	GFSIX				2.26000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class A	36464T836	GGGAX	5.75		.25	1.57000	2.00	SELL ONLY

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Gabelli	Gabelli Global Growth Fund Class AAA	36464T844	GICPX			.25	1.57000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class C	36464T810	GGGCX		1.00	1.00	2.32000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class Institutional	36464T786	GGGIX				1.32000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class A	36464T737	GMNAX	5.75		.25	9.40000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class A	36464T745	GAMNX			.25	9.40000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class C	36464T729	GMNCX		1.00	1.00	10.15000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class I	36464T711	GGMMX				9.15000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend	36464T877	GAGAX	5.75		.25	1.72000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend	36464T851	GACCX		1.00	1.00	2.47000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend	36464T760	GAGIX				1.47000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class A	36239R206	GLDAX	5.75		.25	1.48000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class AAA	36239R107	GOLDX			.25	1.48000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class C	36239R404	GLDCX		1.00	1.00	2.23000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class I	36239R503	GLDIX				1.23000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class A	36464V203	GGCAX	5.75		.25	1.37000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class AAA	36464V104	GABGX			.25	1.37000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class C	36464V401	GGCCX		1.00	1.00	2.12000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class I	36464V500	GGCIX				1.12000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class A	364645200	GAIGX	5.75		.25	2.44000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class A	364645101	GIGRX			.25	2.44000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class C	364645408	GCIGX		1.00	1.00	3.19000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class I	364645507	GIIGX				2.19000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class	36464T604	GOCAX	5.75		.25	3.65000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class	36464T505	GABOX			.25	3.65000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class	36464T802	GGLCX		1.00	1.00	4.40000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class	36464T778	GLOIX				3.40000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class A	36239T871	GCASX	5.75		.25	1.44000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class AA	36239T103	GABSX			.25	1.44000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class C	36239T855	GCCSX		1.00	1.00	2.19000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class I	36239T830	GACIX				1.19000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class A	36240E202	GAUAX	5.75		.25	1.37000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class AAA	36240E103	GABUX			.25	1.37000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class C	36240E400	GAUCX		1.00	1.00	2.12000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class Institutional	36240E806	GAUIX				1.12000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class A	36240H106	GABVX	5.75		.25	1.44000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class AAA	36240H502	GVCAX			.25	1.44000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class C	36240H304	GVCCX		1.00	1.00	2.19000	2.00	SELL ONLY

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							Expense Ratio	Fee	
Gabelli	Gabelli Value 25 Fund Class I	36240H403	GVCIX				1.19000	2.00	SELL ONLY
Gabelli	The Gabelli Global Rising Income and Divi	36464T885	GAGCX			.25	1.72000	2.00	SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker I	38145N246	GARTX	5.50		.25	1.24000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker I	38145N238	GCRTX		1.00	.75	1.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker I	38147X325	GARUX				0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker I	38145N220	GJRTX				0.87000		SELL ONLY
Goldman Sachs	Goldman Sachs Alternative Premia Fund C	38145L505	GDAFX	5.50		.25	2.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Alternative Premia Fund C	38145L604	GDCFX		1.00	.75	3.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Alternative Premia Fund C	38147X291	GDHUX				2.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Alternative Premia Fund I	38145L885	GDIFX				2.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfol	38142V688	GIPAX	5.50		.25	1.13000		BUY,SELL
Goldman Sachs	Goldman Sachs Balanced Strategy Portfol	38142V662	GIPCX		1.00	.75	1.88000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfol	38148U106	GIPUX				0.75000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfol	38142V548	GIPIX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfol	38142V530	GIPSX			.25	1.26000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Class A Share	38143H449	GSFAX	3.75		.25	0.94000		BUY,SELL
Goldman Sachs	Goldman Sachs Bond Fund Class C Share	38143H423	GSFCX		1.00	.75	1.69000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Class R6 Sha	38147X556	GSFUX				0.60000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Institutional S	38143H415	GSNIX				0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Service Share	38143H399	GSNSX			.25	1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Capital Growth Fund Clas	38141W638	GSCGX	5.50		.25	1.20000		BUY,SELL
Goldman Sachs	Goldman Sachs Capital Growth Fund Clas	38142B344	GSPCX		1.00	.75	1.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Capital Growth Fund Clas	38147X390	GSPUX			.00	0.82000		SELL ONLY
Goldman Sachs	Goldman Sachs Capital Growth Fund Insti	38142B146	GSPIX			.00	0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Capital Growth Fund Serv	38142B138	GSPSX			.25	1.33000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Class	38141W570	GSAGX	5.50		.25	2.10000		BUY,SELL
Goldman Sachs	Goldman Sachs China Equity Fund Class	38142B294	GSACX		1.00	.75	2.85000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Class	38148U130	GSAFX				1.72000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Institut	38141W455	GSAIX				1.73000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fur	38150C671	GCEBX	5.50		.25	2.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fur	38150C663	GCEGX		1.00	.75	3.21000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fur	38150C622	GCEEX				2.08000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fur	38150C655	GCEDX				2.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund	38143H373	GSCAX	4.50		.25	1.48000		BUY,SELL
Goldman Sachs	Goldman Sachs Commodity Strategy Fund	38143H365	GSCCX		1.00	.75	2.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund	38147X317	GCCUX				1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund	38143H381	GCCIX				1.14000		SELL ONLY

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				Load	CDSC	Fees	Expense Ratio	Fee		
Goldman Sachs	Goldman Sachs Concentrated Growth Fur	38142Y187	GCGAX	5.50			.25	1.37000		BUY,SELL
Goldman Sachs	Goldman Sachs Concentrated Growth Fur	38142Y161	GCGCX		1.00		.75	2.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Concentrated Growth Fur	38147X382	GCGUX				.00	0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Concentrated Growth Fur	38142Y153	GCRIX				.00	1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund	38142B419	GCFIX	3.75				0.82000		BUY,SELL
Goldman Sachs	Goldman Sachs Core Fixed Income Fund	38142B229	GCFCX		1.00		.00	1.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund	38147X333	GCFUX					0.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund	38141W810	GSFIX					0.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund	38141W786	GSCSX				.25	0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Defensive Equity Fund Cl	38150C598	GDEAX	5.50			.25	8.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Defensive Equity Fund Cl	38150C580	GDECX		1.00		.75	9.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Defensive Equity Fund Cl	38150C531	GDESX					8.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Defensive Equity Fund Ins	38150C572	GDEIX					8.29000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fu	38142V571	GAPAX	5.50			.25	0.99000		BUY,SELL
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fu	38142V555	GAXCX		1.00		.75	1.74000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fu	38148U403	GAPUX					0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fu	38142V472	GAPIX					0.62000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fu	38142V464	GAPSX				.25	1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Incom	38142B195	GSMUX		1.00		.75	1.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Incom	38145L190	GYISX					0.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Incom	38142V746	GSMTX					0.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Incom	38142V738	GSMEX				.25	0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt F	38143H803	GSDAX	4.50			.25	1.25000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt F	38143H456	GSCDX		1.00		.75	2.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt F	38148U882	GSIUX					0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt F	38143H886	GSDIX					0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38142B450	GEMAX	5.50			.25	1.56000		BUY,SELL
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38142B252	GEMCX		1.00		.75	2.31000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38147X226	GEMUX					1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38142B369	GEMIX					1.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38142B351	GEMSX				.25	1.69000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38144N585	GERAX	5.50			.25	1.53000		BUY,SELL
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38144N577	GERCX		1.00		.75	2.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38147X259	GERUX					1.15000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity	38144N569	GERIX					1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fun	38148U262	GLEAX	5.50			.25	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fun	38148U254	GLECX		1.00		.75	2.46000		SELL ONLY

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							Expense Ratio	Fee	
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund	38148U239	GLESX				1.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund	38148U221	GLEPX				1.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global	38143H167	GADGX	5.50		.25	1.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global	38148U197	GRGDY				1.08000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global	38143H175	GIDGX				1.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class	38142Y534	GEIAX			.15	0.62000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class	38142Y526	GEADY				0.64000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class	38147X622	GEIUX				0.38000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class	38142Y518	GEIIX				0.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Class	38141W588	GSGRX	5.50		.25	1.23000		BUY,SELL
Goldman Sachs	Goldman Sachs Equity Income Fund Class	38142B310	GSGCX		1.00	.75	1.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Class	38147X457	GRGUX				0.85000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Instit	38141W414	GSIIY				0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Servi	38141W422	GSGSY			.25	1.36000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets E	38150C861	GEBAX	5.50		.25	6.21000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets E	38150C853	GEBCY		1.00	.75	6.96000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets E	38150C812	GEBSY				5.83000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets E	38150C846	GEBIX				5.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Flexible Cap Fund Class	38145C109	GALLY	5.50		.25	2.35000		BUY,SELL
Goldman Sachs	Goldman Sachs Flexible Cap Fund Class	38145C208	GCLLY		1.00	.75	3.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Flexible Cap Fund Class	38147X374	GFCUY			.00	1.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Flexible Cap Fund Instit	38145C307	GILLY			.00	1.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Clas	38147X689	GFVAX	5.50		.25	4.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Clas	38147X671	GFVCY		1.00	.75	5.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Clas	38147X648	GFVUY				4.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Insti	38147X630	GFVSY				4.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income	38141W109	GSGIX	3.75		.25	1.16000		BUY,SELL
Goldman Sachs	Goldman Sachs Global Core Fixed Income	38142B187	GSLCY		1.00	.75	1.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income	38147X549	GBIUY				0.82000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income	38141W737	GGLY				0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income	38141W729	GGISY			.25	1.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund	38148U833	GGIAX	5.50		.25	1.56000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund	38148U825	GGICX		1.00	.75	2.31000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund	38148U775	GGIY				1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund	38148U817	GGIDY				1.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Secur	38148U767	GARGX	5.50		.25	1.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Secur	38148U759	GARKY		1.00	.75	2.33000		SELL ONLY

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Goldman Sachs	Goldman Sachs Global Real Estate Secur	38148U718	GARVX				1.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Secur	38148U742	GARSX				1.21000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund	38141W604	GSGOX	3.75		.25	1.10000		BUY,SELL
Goldman Sachs	Goldman Sachs Government Income Fund	38142B211	GSOCX		1.00	.75	1.85000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund	38147X572	GSOUX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund	38142V761	GSOIX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund	38142V753	GSOSX			.25	1.27000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners Internation	38147N327	GSIHX	5.50		.25	1.20000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners Internation	38147N319	GSILX		1.00	.75	1.95000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners Internation	38147N269	GSIX				0.81000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners Internation	38147N293	GSIMX				0.82000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strate	38142V654	GOIAX	5.50		.25	1.05000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth and Income Strate	38142V639	GOICX		1.00	.75	1.80000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strate	38148U205	GOIUX				0.67000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strate	38142V522	GOIIX				0.68000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strate	38142V514	GOISX			.25	1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Opportunities Fun	38142Y104	GGOAX	5.50		.25	1.39000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth Opportunities Fun	38142Y302	GGOCX		1.00	.75	2.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Opportunities Fun	38148U601	GGOUX			.00	1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Opportunities Fun	38142Y401	GGOIX			.00	1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Opportunities Fun	38142Y500	GGOSX			.25	1.52000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio	38142V621	GG SAX	5.50		.25	1.03000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio	38142V597	GGSCX		1.00	.75	1.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio	38148U304	GG SUX				0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio	38142V498	GG SIX				0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio	38142V480	GGSSX			.25	1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs High Quality Floating Rate	38141W703	GSAMX			.15	0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs High Quality Floating Rate	38147X614	GTAUX				0.54000		SELL ONLY
Goldman Sachs	Goldman Sachs High Quality Floating Rate	38141W208	GSARX				0.55000		SELL ONLY
Goldman Sachs	Goldman Sachs High Quality Floating Rate	38141W877	GSASX			.25	1.05000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate F	38145C471	GFRAX	2.25		.25	1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate F	38145C463	GFRCX		1.00	.75	1.88000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate F	38145L166	GFRSX				0.79000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate F	38145C455	GSFRX				0.80000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Class A	38141W653	GSHAX	4.50		.25	1.14000		BUY,SELL
Goldman Sachs	Goldman Sachs High Yield Fund Class C	38142B179	GSHCX		1.00	.75	1.89000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Class R6	38148U874	GSHUX				0.80000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Goldman Sachs	Goldman Sachs High Yield Fund Institutional	38141W679	GSHIX				0.81000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Service S	38141W661	GSHSX			.25	1.31000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund	38142Y591	GHYCX		1.00	.75	1.64000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund	38145L216	GHYSX				0.55000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund	38142Y583	GHYIX				0.56000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Clas	38141W562	GSBFX	5.50		.25	0.96000		BUY,SELL
Goldman Sachs	Goldman Sachs Income Builder Fund Clas	38142B286	GSBCX		1.00	.75	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Clas	38148U809	GSBUX				0.62000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Insti	38142B161	GSBIX				0.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class A Sha	38150C754	GSCHX	3.75		.25	1.47000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class C Sha	38150C747	GSCJX		1.00	.75	2.22000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class R6 Sh	38150C697	GSCRX				1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Institutional	38150C739	GSNCX				1.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securit	38144N866	GSAPX	3.75		.25	0.74000		BUY,SELL
Goldman Sachs	Goldman Sachs Inflation Protected Securit	38144N858	GSCFX		1.00	.75	1.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securit	38147X580	GSRUX				0.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securit	38144N841	GSIPX				0.41000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Divide	38144N486	GIDAX	5.50		.25	1.48000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Divide	38144N478	GIDCX		1.00	.75	2.23000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Divide	38150C507	GIDUX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Divide	38144N494	GIDHX				1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG I	38141W596	GSIFX	5.50		.25	1.68000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity ESG I	38142B328	GSICX		1.00	.75	2.43000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG I	38148U486	GSIWX				1.30000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG I	38141W448	GSIEX				1.31000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG I	38141W430	GSISX			.25	1.81000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Incom	38144N502	GSAKX	5.50		.25	1.91000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity Incom	38144N700	GSCCKX		1.00	.75	2.66000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Incom	38144N809	GSIKX				1.54000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Incom	38148U478	GSUKX				1.53000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insign	38142V878	GCIAX	5.50		.25	1.22000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity Insign	38142V852	GCICX		1.00	.75	1.97000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insign	38147X242	GCIUX				0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insign	38142V837	GCISX			.25	1.35000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insign	38142V845	GCIIX				0.85000		SELL ONLY
Goldman Sachs	Goldman Sachs International Real Estate	38143H589	GIRAX	5.50		.25	2.15000		SELL ONLY
Goldman Sachs	Goldman Sachs International Real Estate	38143H571	GIRCX		1.00	.75	2.90000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	12b-1 CDSC	Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Goldman Sachs	Goldman Sachs International Real Estate	38147X283	GIRUX				1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs International Real Estate	38143H563	GIRIX				1.78000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap In	38144N627	GICAX	5.50		.25	1.30000		BUY,SELL
Goldman Sachs	Goldman Sachs International Small Cap In	38144N619	GICCX		1.00	.75	2.05000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap In	38147X234	GICUX				0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap In	38144N593	GICIX				0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed	38144N528	GATMX	5.50		.25	1.36000		BUY,SELL
Goldman Sachs	Goldman Sachs International Tax-Managed	38144N510	GCTMX		1.00	.75	2.11000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed	38150C606	GHTRX				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed	38144N536	GHTMX				0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit	38143H852	GSGAX	3.75		.25	0.79000		BUY,SELL
Goldman Sachs	Goldman Sachs Investment Grade Credit	38148U866	GTIUX				0.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit	38143H845	GSGDX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insight	38142B435	GLCGX	5.50		.25	0.95000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Growth Insight	38142B260	GLCCX		1.00	.75	1.70000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insight	38147X523	GLCUX			.00	0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insight	38142B385	GCGIX			.00	0.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insight	38142B377	GSCLX			.25	1.08000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Cl	38142Y815	GSLAX	5.50		.25	1.26000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Value Fund Cl	38142Y781	GSVCX		1.00	.75	2.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Cl	38147X440	GSVUX				0.88000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Ins	38142Y773	GSLIX				0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Se	38142Y765	GSVSX			.25	1.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights	38142V225	GCVAX	5.50		.25	1.04000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Value Insights	38142V191	GVCVX		1.00	.75	1.79000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights	38147X515	GCVUX			.00	0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights	38142V183	GCVIX			.00	0.67000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights	38142V175	GCLSX			.25	1.17000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets I	38145N105	GAMDX	4.50		.25	1.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets I	38145N204	GCMDX		1.00	.75	2.59000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets I	38145L174	GIMSX				1.50000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets I	38145N303	GIMDX				1.51000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strateg	38145L273	GSAUX	3.75		.25	1.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strateg	38145L265	GSAVX		1.00	.75	2.59000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strateg	38145L141	GSSAX				1.50000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strateg	38145L257	GSAWX				1.51000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strateg	38145C422	GMSAX	5.50		.25	1.83000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Goldman Sachs	Goldman Sachs Managed Futures Strateg	38145C414	GMSCX		1.00	.75	2.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strateg	38150C879	GMSWX				1.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strateg	38145C398	GMSSX				1.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Clas	38142V720	GCMAX	5.50		.25	1.22000		BUY,SELL
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Clas	38142V696	GCMCX		1.00	.75	1.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Clas	38147X432	GCMUX				0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Insti	38141W398	GSMCX				0.85000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Serv	38141W380	GSMSX			.25	1.35000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure	38145C257	GLPAX	5.50		.25	2.63000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure	38145C240	GLPCX		1.00	.75	3.38000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure	38150C887	GLPSX				2.25000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure	38145C232	GMLPX				2.26000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternative	38147N103	GMAMX	5.50		.25	4.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternative	38147N202	GMCMX		1.00	.75	5.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternative	38147N236	GMMFX				4.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternative	38147N301	GSMMX				4.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fu	38142V829	GREAX	5.50		.25	1.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fu	38142V795	GRECX		1.00	.75	2.36000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fu	38147X275	GREUX				1.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fu	38142V787	GREIX				1.24000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fu	38142V779	GRESX			.25	1.74000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth F	38145C315	GSRAX	5.50		.25	1.28000		BUY,SELL
Goldman Sachs	Goldman Sachs Rising Dividend Growth F	38145C299	GSRCX		1.00	.75	2.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth F	38148U114	GSRFX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth F	38145C281	GSRLX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfo	38143H357	GXSAX	5.50		.25	1.57000		BUY,SELL
Goldman Sachs	Goldman Sachs Satellite Strategies Portfo	38143H340	GXSCX		1.00	.75	2.32000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfo	38148U502	GXSUX				1.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfo	38143H332	GXSIX				1.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfo	38145L406	GXSSX			.25	1.70000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund	38145L646	GDIAX	1.50		.25	0.82000		BUY,SELL
Goldman Sachs	Goldman Sachs Short Duration Bond Fund	38145L638	GDICX		0.65	.75	1.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund	38147X564	GDIUX				0.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund	38145L620	GDFIX				0.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Governme	38142B476	GSSDX	1.50		.25	0.90000		BUY,SELL
Goldman Sachs	Goldman Sachs Short Duration Governme	38142B237	GSDCX		0.65	.75	1.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Governme	38147X598	GSTUX				0.56000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Goldman Sachs	Goldman Sachs Short Duration Governme	38141W307	GSTGX				0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Governme	38141W869	GSDSX			.25	1.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free F	38142B245	GSTCX		0.65	.75	1.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free F	38145L182	GDUSX				0.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free F	38141W406	GSDUX				0.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free F	38141W885	GSFSX			.25	0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative	38148U288	GPAPX			.15	0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative	38145L133	GPPSX				0.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative	38147X705	GPPIX				0.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights	38142V506	GCSAX	5.50		.25	1.29000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Equity Insights	38142V704	GCSCX		1.00	.75	2.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights	38147X499	GCSUX			.00	0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights	38142V803	GCSIX			.00	0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights	38142V886	GCSSX			.25	1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund C	38145C182	GSBDX	5.50		.25	7.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund C	38145C174	GSBAX		1.00	.75	7.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund C	38145C158	GSBEX			.00	6.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund I	38145C141	GSAJX			.00	6.64000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insight	38143H225	GSAOX	5.50		.25	1.29000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Growth Insight	38143H191	GSCOX		1.00	.75	2.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insight	38147X481	GINUX			.00	0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insight	38143H183	GSIOX			.00	0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Cl	38141W612	GSSMX	5.50		.25	1.36000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Value Fund Cl	38142B336	GSSCX		1.00	.75	2.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Cl	38147X424	GSSUX				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Ins	38142V209	GSSIX				0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Se	38142V308	GSSSX			.25	1.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights	38143H282	GSATX	5.50		.25	1.30000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Value Insights	38143H266	GSCTX		1.00	.75	2.05000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights	38147X473	GTTUX			.00	0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights	38143H241	GSITX			.00	0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fu	38143H779	GSMAX	5.50		.25	1.31000		BUY,SELL
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fu	38143H753	GSMGX		1.00	.75	2.06000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fu	38148U700	GTMUX			.00	0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fu	38143H746	GSMYX			.00	0.94000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fu	38143H738	GSMQX			.25	1.44000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fun	38147X101	GMVAX	5.50		.25	1.48000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fun	38147X200	GMVCX		1.00	.75	2.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fun	38147X416	GMCUX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fun	38147X309	GSMVX				1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Cl	38142Y609	GGRAX	5.50		.25	1.35000		BUY,SELL
Goldman Sachs	Goldman Sachs Strategic Growth Fund Cl	38142Y807	GGRCX		1.00	.75	2.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Cl	38147X358	GGRUX			.00	0.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Ins	38142Y880	GSTIX			.00	0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Se	38142Y872	GSTSX			.25	1.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Cl	38145C661	GSZAX	3.75		.25	1.06000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Cl	38145C653	GSZCX		1.00	.75	1.81000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Cl	38147X531	GSZUX				0.72000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Ins	38145C646	GSZIX				0.73000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2025 Portfoli	38147N780	GTADX	5.50		.25	4.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2030 Portfoli	38147N723	GTAJX	5.50		.25	5.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2035 Portfoli	38147N657	GTALX	5.50		.25	4.53000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2040 Portfoli	38147N582	GTAMX	5.50		.25	4.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2045 Portfoli	38147N525	GTAQX	5.50		.25	4.31000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2050 Portfoli	38147N459	GTASX	5.50		.25	4.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2055 Portfoli	38147N384	GTANX	5.50		.25	4.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date 2060 Portfoli	38147N194	GTBAX	5.50		.25	4.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Target Date Retirement P	38147N855	GTAHX	5.50		.25	4.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global E	38142B120	TAGGX	5.50		.25	1.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global E	38148U189	TRGGX				1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global E	38142B112	TIGGX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities	38142Y823	GITAX	5.50		.25	1.44000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities	38142Y849	GITCX		1.00	.75	2.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities	38148U148	GTORX			.00	1.06000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities	38142Y856	GITIX			.00	1.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities	38142Y864	GITSX			.25	1.57000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and	38143H712	GSPAX	5.50		.25	1.15000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and	38143H696	GSPQX		1.00	.75	1.90000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and	38150C804	GIDWX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and	38143H720	GSPKX				0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Cla	38144N288	GAGVX	5.50		.25	3.61000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Cla	38144N270	GCGVX		1.00	.75	4.36000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Cla	38147X341	GDEUX			.00	3.23000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Ins	38144N247	GINGX			.00	3.24000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund	38141W620	GSSQX	5.50		.25	0.99000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund	38142B278	GSUSX		1.00	.75	1.74000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund	38147X465	GSEUX			.00	0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund	38141W372	GSELX			.00	0.62000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund	38141W463	GSESX			.25	1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Cla	38143H878	GSUAX	3.75		.25	0.81000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Cla	38148U858	GGIUX				0.47000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Inst	38143H860	GSUIX				0.48000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity	38142Y674	GCTAX	5.50		.25	1.11000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity	38142Y658	GCTCX		1.00	.75	1.86000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity	38150C705	GCTRX				0.73000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity	38142Y641	GCTIX				0.74000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity	38142Y633	GCTSX			.25	1.24000		SELL ONLY
Grandeur Peak Funds	Grandeur Peak Emerging Markets Opport	31761R401	GPEIX			.00	1.53000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Emerging Markets Opport	31761R302	GPEOX			.25	1.78000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Contrarian Fund Ins	31761R195	GPGCX			.00	4.08000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Micro Cap Fund Ins	31761R732	GPMCX			.00	2.06000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Opportunities Fund	317609360	GPGIX			.00	1.37000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Opportunities Fund	317609386	GPGOX			.25	1.62000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Reach Fund Institut	31761R203	GPRIX			.00	1.27000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Reach Fund Invest	31761R104	GPROX			.25	1.52000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Stalwarts Fund Inst	31761R773	GGSYX			.00	0.99000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Stalwarts Fund Inve	31761R781	GGSOX			.25	1.24000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Opportunities	317609352	GPIIX			.00	1.37000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Opportunities	317609378	GPIOX			.25	1.62000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Stalwarts Fur	31761R757	GISYX			.00	0.92000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Stalwarts Fur	31761R765	GISOX			.25	1.17000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak US Stalwarts Fund Institut	31761R153	GUSYX			.00	6.10000	2.00	SELL ONLY
Guggenheim Investmen	Guggenheim Alpha Opportunity Fund Clas	40168W285	SAOAX	4.75		.25	1.73000		SELL ONLY
Guggenheim Investmen	Guggenheim Alpha Opportunity Fund Clas	40168W277	SAOCX		1.00	1.00	2.72000		SELL ONLY
Guggenheim Investmen	Guggenheim Alpha Opportunity Fund Clas	40169J309	SAOSX			.25	1.67000		SELL ONLY
Guggenheim Investmen	Guggenheim Alpha Opportunity Fund Insti	40168W269	SAOIX				1.36000		SELL ONLY
Guggenheim Investmen	Guggenheim Core Bond Fund Class A	40168W657	SIUSX	4.00		.25	0.85000		SELL ONLY
Guggenheim Investmen	Guggenheim Core Bond Fund Class C	40168W632	SDICX		1.00	1.00	1.62000		SELL ONLY
Guggenheim Investmen	Guggenheim Core Bond Fund Class P	40169J606	SIUPX			.25	0.91000		SELL ONLY
Guggenheim Investmen	Guggenheim Core Bond Fund Institutional	40168W624	GIUSX				0.58000		SELL ONLY
Guggenheim Investmen	Guggenheim Directional Allocation Fund C	89386C662	TVRAX	4.75		.25	1.53000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Guggenheim Investmen	Guggenheim Directional Allocation Fund C	89386C654	TVRCX		1.00	1.00	2.15000		SELL ONLY
Guggenheim Investmen	Guggenheim Directional Allocation Fund C	89386C639	TVRIX				1.15000		SELL ONLY
Guggenheim Investmen	Guggenheim Directional Allocation Fund C	89386C647	TVFRX			.25	1.40000		SELL ONLY
Guggenheim Investmen	Guggenheim Diversified Income Fund Clas	40169J770	GUDAX	4.00		.25	5.15000		SELL ONLY
Guggenheim Investmen	Guggenheim Diversified Income Fund Clas	40169J762	GUDCX		1.00	1.00	5.77000		SELL ONLY
Guggenheim Investmen	Guggenheim Diversified Income Fund Clas	40169J739	GUDPX			.25	5.10000		SELL ONLY
Guggenheim Investmen	Guggenheim Diversified Income Fund Inst	40169J754	GUDIX				4.69000		SELL ONLY
Guggenheim Investmen	Guggenheim Enhanced World Equity Fund	40168W400	GEEFX		1.00	1	4.5700		SELL ONLY
Guggenheim Investmen	Guggenheim Floating Rate Strategies Fun	40168W731	GIFAX	3.00		.25	1.25000		SELL ONLY
Guggenheim Investmen	Guggenheim Floating Rate Strategies Fun	40168W723	GIFCX		1.00	1.00	1.96000		SELL ONLY
Guggenheim Investmen	Guggenheim Floating Rate Strategies Fun	40169J408	GIFPX			.25	1.37000		SELL ONLY
Guggenheim Investmen	Guggenheim Floating Rate Strategies Fun	40168W715	GIFIX				0.97000		SELL ONLY
Guggenheim Investmen	Guggenheim High Yield Fund Class A	40168W699	SIHAX	4.00		.25	1.21000	2.00	SELL ONLY
Guggenheim Investmen	Guggenheim High Yield Fund Class C	40168W673	SIHSX		1.00	1.00	2.00000	2.00	SELL ONLY
Guggenheim Investmen	Guggenheim High Yield Fund Class P	40169J507	SIHPX			.25	1.26000	2.00	SELL ONLY
Guggenheim Investmen	Guggenheim High Yield Fund Institutional	40168W665	SHYIX				0.98000	2.00	SELL ONLY
Guggenheim Investmen	Guggenheim Large Cap Value Fund Class	40168W475	SECIX	4.75		.25	1.46000		SELL ONLY
Guggenheim Investmen	Guggenheim Large Cap Value Fund Class	40168W459	SEGIX		1.00	1.00	2.43000		SELL ONLY
Guggenheim Investmen	Guggenheim Large Cap Value Fund Class	40168W442	GILCX				1.35000		SELL ONLY
Guggenheim Investmen	Guggenheim Large Cap Value Fund Class	40169J853	SEGPX			.25	1.72000		SELL ONLY
Guggenheim Investmen	Guggenheim Limited Duration Fund A-Clas	40168W517	GILDX	2.25		.25	0.84000		SELL ONLY
Guggenheim Investmen	Guggenheim Limited Duration Fund C-Clas	40168W491	GILFX		1.00	1.00	1.61000		SELL ONLY
Guggenheim Investmen	Guggenheim Limited Duration Fund Class	40169J705	GILPX			.25	0.90000		SELL ONLY
Guggenheim Investmen	Guggenheim Limited Duration Fund Institu	40168W483	GILHX				0.59000		SELL ONLY
Guggenheim Investmen	Guggenheim Long Short Equity Fund Clas	78355E510	RYAMX	4.75		.25	1.75000		SELL ONLY
Guggenheim Investmen	Guggenheim Long Short Equity Fund Clas	78355E825	RYISX		1.00	1.00	2.51000		SELL ONLY
Guggenheim Investmen	Guggenheim Long Short Equity Fund Clas	78355E833	RYSRX			.25	1.75000		SELL ONLY
Guggenheim Investmen	Guggenheim Long Short Equity Fund Instit	78356C687	RYQTX				1.50000		SELL ONLY
Guggenheim Investmen	Guggenheim Macro Opportunities Fund Cl	40168W616	GIOAX	4.00		.25	1.57000		SELL ONLY
Guggenheim Investmen	Guggenheim Macro Opportunities Fund Cl	40168W590	GIOCX		1.00	1.00	2.31000		SELL ONLY
Guggenheim Investmen	Guggenheim Macro Opportunities Fund Cl	40169J804	GIOPX			.25	1.56000		SELL ONLY
Guggenheim Investmen	Guggenheim Macro Opportunities Fund In	40168W582	GIOIX				1.23000		SELL ONLY
Guggenheim Investmen	Guggenheim Managed Futures Strategy F	78356A491	RYMFX			.25	1.92000		SELL ONLY
Guggenheim Investmen	Guggenheim Market Neutral Real Estate F	40169J689	GUMAX	4.75		.25	2.38000		SELL ONLY
Guggenheim Investmen	Guggenheim Market Neutral Real Estate F	40169J721	GUMCX		1.00	1.00	3.17000		SELL ONLY
Guggenheim Investmen	Guggenheim Market Neutral Real Estate F	40169J697	GUMPX			.25	2.00000		SELL ONLY
Guggenheim Investmen	Guggenheim Market Neutral Real Estate F	40169J713	GUMNX				1.85000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Guggenheim Investmen	Guggenheim Multi-Hedge Strategies Fund	78356A855	RYMQX	4.75		.25	2.16000		SELL ONLY
Guggenheim Investmen	Guggenheim Multi-Hedge Strategies Fund	78356A848	RYMRX		1.00	1.00	2.91000		SELL ONLY
Guggenheim Investmen	Guggenheim Multi-Hedge Strategies Fund	78356A137	RYIMX				1.91000		SELL ONLY
Guggenheim Investmen	Guggenheim Multi-Hedge Strategies Fund	78356A780	RYMSX			.25	2.16000		SELL ONLY
Guggenheim Investmen	Guggenheim Municipal Income Fund Clas	40168W574	GIJAX	4.00		.25	1.36000		SELL ONLY
Guggenheim Investmen	Guggenheim Municipal Income Fund Clas	40168W566	GIJCX		1.00	1.00	2.12000		SELL ONLY
Guggenheim Investmen	Guggenheim Municipal Income Fund Clas	40169J887	GIJPX				1.55000		SELL ONLY
Guggenheim Investmen	Guggenheim Municipal Income Fund Instit	40168W558	GIJIX				1.15000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Dividend Fund Class A	89386C696	TVEAX	4.75		.25	2.18000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Dividend Fund Class C	89386C688	TVECX		1.00	1.00	2.80000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Dividend Fund Class I	89386C712	TVEIX				1.80000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Dividend Fund Class F	89386C670	TVEFX			.25	2.06000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Defensive	89386C308	TVDAX	4.75		.25	2.62000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Defensive	89386C878	TVDCX		1.00	1.00	3.22000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Defensive	89386C886	TVIDX				2.23000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Defensive	89386C407	TVFDX			.25	2.54000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Market Fur	89386C506	TVMAX	4.75		.25	2.73000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Market Fur	89386C852	TVMCX		1.00	1.00	3.32000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Market Fur	89386C860	TVIMX				2.25000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Market Fur	89386C605	TVFMX			.25	2.79000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Value Fund	89386C753	TVVAX	4.75		.25	7.53000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Value Fund	89386C746	TVVCX		1.00	1.00	7.99000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Value Fund	89386C720	TVVIX				6.86000		SELL ONLY
Guggenheim Investmen	Guggenheim RBP? Large-Cap Value Fund	89386C738	TVVFX			.25	7.18000		SELL ONLY
Guggenheim Investmen	Guggenheim Risk Managed Real Estate F	40168W384	GURAX	4.75		.25	1.71000		SELL ONLY
Guggenheim Investmen	Guggenheim Risk Managed Real Estate F	40168W376	GURCX		1.00	1.00	2.54000		SELL ONLY
Guggenheim Investmen	Guggenheim Risk Managed Real Estate F	40169J838	GURPX			.25	1.84000		SELL ONLY
Guggenheim Investmen	Guggenheim Risk Managed Real Estate F	40168W368	GURIX				1.43000		SELL ONLY
Guggenheim Investmen	Guggenheim Series Trust Managed Future	78356A517	RYMTX	4.75		.25	1.91000		SELL ONLY
Guggenheim Investmen	Guggenheim Series Trust Managed Future	78356A525	RYMZX		1.00	1.00	2.66000		SELL ONLY
Guggenheim Investmen	Guggenheim Series Trust Managed Future	78356A145	RYIFX				1.65000		SELL ONLY
Guggenheim Investmen	Guggenheim Small Cap Value Fund Class	40168W855	SSUAX	4.75		.25	3.23000		SELL ONLY
Guggenheim Investmen	Guggenheim Small Cap Value Fund Class	40168W871	SSVCX		1.00	1.00	4.33000		SELL ONLY
Guggenheim Investmen	Guggenheim Small Cap Value Fund Class	40169J820	SSUPX			.25	4.07000		SELL ONLY
Guggenheim Investmen	Guggenheim Small Cap Value Institutional	40168W848	SSUIX				2.86000		SELL ONLY
Guggenheim Investmen	Guggenheim SMid Cap Value Fund Class	40168W749	SEVAX	4.75		.25	1.25000		BUY,SELL
Guggenheim Investmen	Guggenheim SMid Cap Value Fund Class	40168W780	SEVSX		1.00	1.00	2.14000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible	
							Expense Ratio			
Guggenheim Investmen	Guggenheim SMid Cap Value Fund Class	40169J846	SEVPX				.25	1.33000		SELL ONLY
Guggenheim Investmen	Guggenheim SMid Cap Value Fund Institu	40169J499	SVUIX					1.09000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Large Core Fund	40168W103	SECEX	4.75			.25	1.45000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Large Core Fund	40168W764	SFECX		1.00	1.00		2.37000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Large Core Fund	40169J812	SFEPX				.25	1.59000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Large Core Fund	40168W608	GILIX					1.21000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Mid Growth Fund	40168W434	SECUX	4.75			.25	1.59000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Mid Growth Fund	40168W418	SUFCX		1.00	1.00		2.46000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Mid Growth Fund	40169J796	SEUPX				.25	1.68000		SELL ONLY
Guggenheim Investmen	Guggenheim StylePlus - Mid Growth Fund	40168W392	GIUIX					1.40000		SELL ONLY
Guggenheim Investmen	Guggenheim Total Return Bond Fund Clas	40168W541	GIBAX	4.00			.25	0.87000		BUY,SELL
Guggenheim Investmen	Guggenheim Total Return Bond Fund Clas	40168W533	GIBCX		1.00	1.00		1.59000		SELL ONLY
Guggenheim Investmen	Guggenheim Total Return Bond Fund Clas	40169J879	GIBLX				.25	0.88000		SELL ONLY
Guggenheim Investmen	Guggenheim Total Return Bond Fund Clas	40169J200	GIBRX					0.52000		SELL ONLY
Guggenheim Investmen	Guggenheim Total Return Bond Fund Insti	40168W525	GIBIX					0.57000		SELL ONLY
Guggenheim Investmen	Guggenheim Ultra Short Duration Fund Cl	40169J549	GIYAX				.25	0.65000		SELL ONLY
Guggenheim Investmen	Guggenheim Ultra Short Duration Fund Ins	40169J523	GIYIX					0.38000		SELL ONLY
Guggenheim Investmen	Guggenheim World Equity Income Fund C	40168W707	SEQAX	4.75			.25	1.48000		SELL ONLY
Guggenheim Investmen	Guggenheim World Equity Income Fund C	40168W772	SFGCX		1.00	1.00		2.40000		SELL ONLY
Guggenheim Investmen	Guggenheim World Equity Income Fund C	40169J788	SEQPX				.25	1.56000		SELL ONLY
Guggenheim Investmen	Guggenheim World Equity Income Fund Ir	40168W806	SEWIX					1.50000		SELL ONLY
GuideStone Funds	GuideStone Funds Aggressive Allocation F	40171Y807	GAGYX					0.97000		SELL ONLY
GuideStone Funds	GuideStone Funds Aggressive Allocation F	40171W876	GGBZX					1.22000		SELL ONLY
GuideStone Funds	GuideStone Funds Balanced Allocation Fu	40171Y609	GBAYX					0.77000		SELL ONLY
GuideStone Funds	GuideStone Funds Balanced Allocation Fu	40171W405	GGIZX					1.02000		SELL ONLY
GuideStone Funds	GuideStone Funds Conservative Allocation	40171Y500	GCAYX					0.69000		SELL ONLY
GuideStone Funds	GuideStone Funds Conservative Allocation	40171W108	GFIZX					0.94000		SELL ONLY
GuideStone Funds	GuideStone Funds Defensive Market Strat	40171W199	GDMYX					0.68000		SELL ONLY
GuideStone Funds	GuideStone Funds Defensive Market Strat	40171W181	GDMZX					0.95000		SELL ONLY
GuideStone Funds	GuideStone Funds Emerging Markets Equ	40171W132	GEMYX					1.12000		SELL ONLY
GuideStone Funds	GuideStone Funds Emerging Markets Equ	40171W124	GEMZX					1.52000		SELL ONLY
GuideStone Funds	GuideStone Funds Equity Index Fund Insti	40171W629	GEQYX					0.13000		SELL ONLY
GuideStone Funds	GuideStone Funds Equity Index Fund Inve	40171W611	GEQZX					0.40000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Bond Fund Insti	40171Y203	GGBEX					0.57000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Bond Fund Inve	40171W231	GGBFX					0.86000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Real Estate Sec	40171Y302	GREYX					0.87000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Real Estate Sec	40171W223	GREZX					1.14000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
GuideStone Funds	GuideStone Funds Growth Allocation Fund	40171Y708	GGRYX				0.88000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Allocation Fund	40171W702	GCOZX				1.13000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Fund Inst	40171W538	GGEYX				0.70000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Fund Inv	40171W520	GGEZX				0.96000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Fur	40171W447	GIEYX				0.95000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Fur	40171W439	GIEZX				1.22000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Ind	40171Y401	GIIYX				0.23000		SELL ONLY
GuideStone Funds	GuideStone Funds Low-Duration Bond Fur	40171W751	GLDYX				0.36000		SELL ONLY
GuideStone Funds	GuideStone Funds Low-Duration Bond Fur	40171W744	GLDZX				0.63000		SELL ONLY
GuideStone Funds	GuideStone Funds Medium-Duration Bond	40171W710	GMDYX				0.39000		SELL ONLY
GuideStone Funds	GuideStone Funds Medium-Duration Bond	40171W694	GMDZX				0.66000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2015 Fu	40171Y880	GMTYX				0.59000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2015 Fu	40171W363	GMTZX				0.84000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2025 Fu	40171Y872	GMWYX				0.53000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2025 Fu	40171W330	GMWZX				0.79000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2035 Fu	40171Y864	GMHYX				0.50000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2035 Fu	40171W298	GMHZX				0.75000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2045 Fu	40171Y856	GMYYX				0.48000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2045 Fu	40171W264	GMFZX				0.75000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2055 Fu	40171Y849	GMGYX				0.51000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2055 Fu	40171W173	GMGZX				0.77000		SELL ONLY
GuideStone Funds	GuideStone Funds Small Cap Equity Fund	40171W488	GSCYX				1.00000		SELL ONLY
GuideStone Funds	GuideStone Funds Small Cap Equity Fund	40171W470	GSCZX				1.26000		SELL ONLY
GuideStone Funds	GuideStone Funds Strategic Alternatives F	40171Y831	GFSYX				1.34000		SELL ONLY
GuideStone Funds	GuideStone Funds Strategic Alternatives F	40171Y823	GFSZX				1.60000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Fund Inst	40171W579	GVEYX				0.69000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Fund Inve	40171W561	GVEZX				0.95000		SELL ONLY
Hamlin Funds	Hamlin High Dividend Equity Fund Institut	00769G741	HHDFX				1.01000	2.00	SELL ONLY
Hamlin Funds	Hamlin High Dividend Equity Fund Investo	00769G733	HHDVX				1.35000	2.00	SELL ONLY
Hancock Horizon	Hancock Horizon Burkenroad Small Cap F	41012R811	HYBUX			.25	1.71000		SELL ONLY
Hancock Horizon	Hancock Horizon Burkenroad Small Cap F	00766Y216	HIBUX				1.21000		SELL ONLY
Hancock Horizon	Hancock Horizon Burkenroad Small Cap F	41012R829	HHBUX				1.46000		SELL ONLY
Hancock Horizon	Hancock Horizon Diversified Income Fund	41012R670	HHIIX				1.27000		SELL ONLY
Hancock Horizon	Hancock Horizon Diversified Income Fund	41012R662	HHIAX				1.52000		SELL ONLY
Hancock Horizon	Hancock Horizon Diversified International	41012R787	HHDTX				1.34000		SELL ONLY
Hancock Horizon	Hancock Horizon Diversified International	41012R779	HHDAX				1.59000		SELL ONLY
Hancock Horizon	Hancock Horizon Dynamic Asset Allocatio	41012R597	HDAIX				1.52000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hancock Horizon	Hancock Horizon Dynamic Asset Allocatio	41012R589	HDAAX				1.76000		SELL ONLY
Hancock Horizon	Hancock Horizon International Small Cap	41012R563	HICIX				1.47000		SELL ONLY
Hancock Horizon	Hancock Horizon International Small Cap	41012R555	HISAX				1.76000		SELL ONLY
Hancock Horizon	Hancock Horizon Louisiana Tax-Free Inco	41012R720	HHLTIX				1.60000		SELL ONLY
Hancock Horizon	Hancock Horizon Louisiana Tax-Free Inco	41012R712	HHLAX				1.85000		SELL ONLY
Hancock Horizon	Hancock Horizon Microcap Fund Institutio	41012R530	HMIIX				1.54000		SELL ONLY
Hancock Horizon	Hancock Horizon Microcap Fund Investor	41012R522	HMIAX				1.79000		SELL ONLY
Hancock Horizon	Hancock Horizon Mississippi Tax-Free Inc	41012R696	HHMTX				1.30000		SELL ONLY
Hancock Horizon	Hancock Horizon Mississippi Tax-Free Inc	41012R688	HIMAX				1.55000		SELL ONLY
Hancock Horizon	Hancock Horizon Quantitative Long/Short	41012R753	HHQTX				1.42000		SELL ONLY
Hancock Horizon	Hancock Horizon Quantitative Long/Short	41012R746	HHQAX				1.66000		SELL ONLY
Harbor	Harbor Bond Fund Administrative Class	411511686	HRBDX			.25	0.98000		SELL ONLY
Harbor	Harbor Bond Fund Institutional Class	411511108	HABDX				0.73000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Adminis	411511827	HRCAX			.25	0.97000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Institutio	411511504	HACAX				0.72000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Investor	411511819	HCAIX			.25	1.08000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Retirem	411512528	HNACX				0.64000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Admin	411512726	HRC SX			.25	1.07000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Institut	411512734	HACSX				0.82000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Investo	411512718	HICSX			.25	1.18000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Retire	411512387	HNCVX				0.74000		SELL ONLY
Harbor	Harbor Disruptive Innovation Fund Adminis	411511793	HRMGX			.25	1.16000		SELL ONLY
Harbor	Harbor Disruptive Innovation Fund Investo	411511785	HIMGX			.25	1.27000		SELL ONLY
Harbor	Harbor Disruptive Innovation Fund Retirem	411512510	HNMGX				0.83000		SELL ONLY
Harbor	Harbor Disruptive Innovation Institutional C	411511876	HAMGX				0.91000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fu	411512585	HRIDX			.25	1.18000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fu	411512593	HAIDX				0.93000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fu	411512577	HIIDX			.25	1.29000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fu	411512437	HNIDX				0.85000		SELL ONLY
Harbor	Harbor Emerging Markets Equity Fund Adr	411512684	HREMX			.25	2.17000		SELL ONLY
Harbor	Harbor Emerging Markets Equity Fund Ins	411512692	HAEMX				1.92000		SELL ONLY
Harbor	Harbor Emerging Markets Equity Fund Inv	411512676	HIEEX			.25	2.28000		SELL ONLY
Harbor	Harbor Emerging Markets Equity Fund Ref	411512395	HNEMX				1.84000		SELL ONLY
Harbor	Harbor Global Leaders Fund Administrativ	411512866	HRGAX			.25	1.23000		SELL ONLY
Harbor	Harbor Global Leaders Fund Institutional C	411512874	HGGAX				0.98000		SELL ONLY
Harbor	Harbor Global Leaders Fund Investor Clas	411512858	HGGIX			.25	1.34000		SELL ONLY
Harbor	Harbor Global Leaders Fund Retirement C	411512411	HNGIX				0.90000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Harbor	Harbor High Yield Bond Fund Retirement Class	411512379	HNHYX				0.66000		SELL ONLY
Harbor	Harbor High-Yield Bond Fund Administrative Class	411511546	HYFRX			.25	0.99000		SELL ONLY
Harbor	Harbor High-Yield Bond Fund Institutional Class	411511553	HYFAX				0.74000		SELL ONLY
Harbor	Harbor High-Yield Bond Fund Investor Class	411511538	HYFIX			.25	1.10000		SELL ONLY
Harbor	Harbor International Fund Administrative Class	411511652	HRINX			.25	1.14000		SELL ONLY
Harbor	Harbor International Fund Institutional Class	411511306	HAINX				0.89000		SELL ONLY
Harbor	Harbor International Fund Investor Class	411511645	HIINX			.25	1.25000		SELL ONLY
Harbor	Harbor International Fund Retirement Class	411512445	HNINX				0.81000		SELL ONLY
Harbor	Harbor International Growth Fund Administrative Class	411511637	HRIGX			.25	1.16000		SELL ONLY
Harbor	Harbor International Growth Fund Institutional Class	411511801	HAIGX				0.91000		SELL ONLY
Harbor	Harbor International Growth Fund Investor Class	411511629	HIIGX			.25	1.27000		SELL ONLY
Harbor	Harbor International Growth Fund Retirement Class	411512429	HNGFX				0.83000		SELL ONLY
Harbor	Harbor International Small Cap Fund Administrative Class	411512551	HRISX			.25	1.70000		SELL ONLY
Harbor	Harbor International Small Cap Fund Institutional Class	411512569	HAISX				1.45000		SELL ONLY
Harbor	Harbor International Small Cap Fund Investor Class	411512544	HIISX			.25	1.81000		SELL ONLY
Harbor	Harbor International Small Cap Fund Retirement Class	411512536	HNISX				1.37000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Administrative Class	411511751	HRLVX			.25	0.97000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Institutional Class	411511603	HAVLX				0.72000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Investor Class	411511744	HILVX			.25	1.08000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Retirement Class	411512478	HNLVX				0.64000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Administrative Class	411511728	HRMVX			.25	1.15000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Institutional Class	411511835	HAMVX				0.90000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Investor Class	411511736	HIMVX			.25	1.26000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Retirement Class	411512460	HNMVX				0.82000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Administrative Class	411511769	HRSGX			.25	1.14000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Institutional Class	411511868	HASGX				0.89000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Investor Class	411511777	HISGX			.25	1.25000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Retirement Class	411512494	HNSGX				0.81000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Administrative Class	411511710	HSVRX			.25	1.13000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Institutional Class	411511843	HASCX				0.88000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Investor Class	411511694	HISVX			.25	1.24000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Retirement Class	411512452	HNVRX				0.80000		SELL ONLY
Harbor	Harbor Strategic Growth Fund Administrative Class	411512338	HSRGX			.25	1.05000		SELL ONLY
Harbor	Harbor Strategic Growth Fund Institutional Class	411512353	MVSGX				0.80000		SELL ONLY
Harbor	Harbor Strategic Growth Fund Investor Class	411512361	HISWX			.25	1.16000		SELL ONLY
Harbor	Harbor Strategic Growth Fund Retirement Class	411512346	HNGSX				0.72000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664R440	HAFAX	4.50		.25	1.12000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664R432	HAICX		1.00	1.00	1.87000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664T388	HAFDX				0.73000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664R424	HAFIX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664R416	HAFRX			.50	1.44000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664R390	HAFSX			.25	1.14000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund	41664R374	HAFYX				0.83000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class	41664L740	HCKAX	5.50		.25	0.93000		BUY,SELL
Hartford Mutual Funds	Hartford Checks and Balances Fund Class	41664L724	HCKCX		1.00	1.00	1.71000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class	41664T693	HCKFX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class	41664L393	HCKIX				0.67000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class	41664L278	HCKRX			.50	1.29000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class	41664L260	HCKSX			.25	0.97000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T701	HEOMX	5.50		.25	1.49000		BUY,SELL
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T800	HEONX		1.00	1.00	2.33000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T636	HEOFX				1.08000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T883	HEOIX				1.21000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T875	HEORX			.50	1.80000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T867	HEOSX			.25	1.50000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class	41664T834	HEOYX				1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Cla	416648715	HCVAX	5.50		.25	1.09000		BUY,SELL
Hartford Mutual Funds	Hartford Conservative Allocation Fund Cla	416648681	HCVCX		1.00	1.00	1.88000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Cla	41664T685	HCVFX				0.73000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Cla	416649507	HCVIX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Cla	416649739	HCVRX			.50	1.45000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Cla	416649432	HCVSX			.25	1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class A	416645679	HAIAX	5.50		.25	0.73000		BUY,SELL
Hartford Mutual Funds	Hartford Core Equity Fund Class C	416645547	HGICX		1.00	1.00	1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class F	41664T677	HGIFX				0.38000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class I	41664R192	HGIIX				0.46000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class R3	416649564	HGIRX			.50	1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class R4	416649267	HGISX			.25	0.78000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class Y	416645653	HGIYX				0.48000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664M417	HERAX	5.50		.25	1.47000		BUY,SELL
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664M391	HERCX		1.00	1.00	2.29000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664T651	HERFX				1.04000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664M383	HERIX				1.14000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664M375	HERRX			.50	1.76000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664M367	HERSX			.25	1.46000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund C	41664M342	HERYX				1.14000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664M334	HLDAX	4.50		.25	1.42000		BUY,SELL
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664M326	HLDCX		1.00	1.00	2.18000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664T644	HLDFX				0.98000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664M318	HLDIX				1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664M292	HLDRX			.50	1.70000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664M284	HLDSX			.25	1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fur	41664M268	HLDYX				1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class A	416648558	HFLAX	3.00		.25	1.03000		BUY,SELL
Hartford Mutual Funds	Hartford Floating Rate Fund Class C	416648533	HFLCX		1.00	1.00	1.76000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class F	41664T610	HFLFX				0.67000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class I	416649804	HFLIX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class R3	416649531	HFLRX			.50	1.39000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class R4	416649234	HFLSX			.25	1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class Y	416648525	HFLYX				0.73000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664M177	HFHAX	3.00		.25	1.17000		BUY,SELL
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664M169	HFHCX		1.00	1.00	1.91000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664T594	HFHFX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664M151	HFHIX				0.89000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664M144	HFHRX			.50	1.52000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664M136	HFHSX			.25	1.22000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund C	41664M110	HFHYX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class A	41664T826	HGXAX	5.50		.25	1.49000		BUY,SELL
Hartford Mutual Funds	Hartford Global Impact Fund Class C	41664T818	HGXCX		1.00	1.00	2.23000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class F	41665K543	HGXFX				1.02000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class I	41664T792	HGXIX				1.11000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class R3	41664T776	HGXRX			.50	1.71000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class R4	41664T768	HGXSX			.25	1.39000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class Y	41664T784	HGXYY				1.12000		SELL ONLY
Hartford Mutual Funds	Hartford Global Real Asset Fund Class A	41664M581	HRLAX	5.50		.25	1.55000		BUY,SELL
Hartford Mutual Funds	Hartford Global Real Asset Fund Class F	41664T552	HRLFX				1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Global Real Asset Fund Class I	41664M565	HRLIX				1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Global Real Asset Fund Class R3	41664M540	HRLRX			.50	1.81000		SELL ONLY
Hartford Mutual Funds	Hartford Global Real Asset Fund Class R4	41664M532	HRLSX			.25	1.50000		SELL ONLY
Hartford Mutual Funds	Hartford Global Real Asset Fund Class Y	41664M557	HRLYX				1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class A	416648772	HRAAX	5.50		.25	1.11000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hartford Mutual Funds	Hartford Growth Allocation Fund Class C	416648756	HRACX		1.00	1.00	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class F	41664T545	HRAFX				0.71000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class I	416649879	HRAIX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class R3	416649754	HRARX			.50	1.42000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class R4	416649457	HRASX			.25	1.11000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class A	416645489	HAHAX	4.50		.25	1.03000		BUY,SELL
Hartford Mutual Funds	Hartford High Yield Fund Class C	416645463	HAHCX		1.00	1.00	1.73000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class F	41664T511	HAHFX				0.60000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class R3	416649648	HAHRX			.50	1.31000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class R4	416649341	HAHSX			.25	1.01000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class Y	416645455	HAHYX				0.70000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Institutional	41664L625	HAHIX				0.70000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class A	416646156	HIPAX	4.50		.25	0.88000		BUY,SELL
Hartford Mutual Funds	Hartford Inflation Plus Fund Class C	416646131	HIPCX		1.00	1.00	1.60000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class F	41664T495	HIPFX				0.46000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class I	416649853	HIPIX				0.56000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class R3	416649598	HIPRX			.50	1.17000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class R4	416649291	HIP SX			.25	0.88000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class Y	416648830	HIPYX				0.57000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class A	41664L385	HDVAX	5.50		.25	0.99000		BUY,SELL
Hartford Mutual Funds	Hartford International Equity Fund Class C	41664L369	HDVCX		1.00	1.00	1.76000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class F	41664T487	HDVFX				0.54000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class I	41664L351	HDVIX				0.63000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class R	41664L336	HDVRX			.50	1.24000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class R	41664L328	HDVSX			.25	0.95000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class Y	41664L344	HDVYX				0.65000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class A	416645182	HNCAX	5.50		.25	1.36000		BUY,SELL
Hartford Mutual Funds	Hartford International Growth Fund Class C	416645166	HNCCX		1.00	1.00	2.14000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class F	41664T479	HNCFX				0.90000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class I	416649846	HNCJX				0.98000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class R	416649689	HNCRX			.50	1.62000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class R	416649382	HNCSX			.25	1.31000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class Y	416646800	HNCYX				1.01000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class A	41664M664	HILAX	5.50		.25	1.23000		BUY,SELL
Hartford Mutual Funds	Hartford International Value Fund Class C	41664M656	HILCX		1.00	1.00	1.99000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class F	41664T446	HILD X				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class I	41664M631	HILIX				0.93000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Hartford Mutual Funds	Hartford International Value Fund Class R1	41664M623	HILRX				.50 1.58000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class R4	41664M615	HILSX				.25 1.28000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class A	416646107	HMVAX	5.50			.25 1.26000		BUY,SELL
Hartford Mutual Funds	Hartford MidCap Value Fund Class C	416646305	HMVCX		1.00	1.00	2.03000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class F	41664T412	HMVFX				0.82000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class I	41664M425	HMVJX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class R3	41664M698	HMVRX				.50 1.54000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class R4	41664M680	HMVSX				.25 1.24000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class Y	416646875	HMVYX				0.92000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class A	416648749	HBAAX	5.50			.25 1.07000		BUY,SELL
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class C	416648723	HBACX		1.00	1.00	1.86000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class F	41664T396	HBADX				0.70000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class I	416649200	HBAIX				0.78000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class F	416649747	HBARX				.50 1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class F	416649440	HBASX				.25 1.06000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class A	416645810	ITTAX	5.50			.25 1.03000		BUY,SELL
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class C	416645588	HAF CX		1.00	1.00	1.74000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class F	41664T735	ITTFX				0.63000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class I	41664R168	ITTX				0.70000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class R	416649630	ITTRX				.50 1.35000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class R	416649333	ITTSX				.25 1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class Y	416645786	IHAYX				0.73000		SELL ONLY
Hartford Mutual Funds	Hartford Multifactor International Fund Cla	41665X453	HMIFX				0.46000		SELL ONLY
Hartford Mutual Funds	Hartford Multifactor International Fund Cla	41665X511	HMIRX				.50 1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Multifactor International Fund Cla	41665X495	HMISX				.25 0.88000		SELL ONLY
Hartford Mutual Funds	Hartford Multifactor International Fund Cla	41665X461	HMIYX				0.57000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Cla	41664L682	HHMCX		1.00	1.00	1.43000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Cla	41664T362	HHMFX				0.37000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Cla	41664L674	HHMIX				0.44000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Cla	41665K527	HHMYX				0.46000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Cl	41664T503	HMJCX		1.00	1.00	1.95000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Cl	41664T347	HMJFX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Cl	41664T602	HMJIX				0.89000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class A	416529782	HVOAX	5.50			.25 1.03000		BUY,SELL
Hartford Mutual Funds	Hartford Quality Value Fund Class C	416529766	HVOCX		1.00	1.00	1.82000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class F	41665X578	HVOFX				0.58000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class I	416641405	HVOIX				0.67000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hartford Mutual Funds	Hartford Quality Value Fund Class R3	416641801	HVORX			.50	1.29000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class R4	416641850	HVOSX			.25	0.98000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class Y	416529717	HVOYX				0.68000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class A	41665X370	HSHAX	5.50		.25	4.30000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class C	41665X321	HSHCX		1.00		2.24000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class F	41665X347	HSHFX				3.85000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class I	41665X362	HSHIX				4.01000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class S	41665X339	HSHRX				3.85000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class Y	41665X354	HSHYX				3.95000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H862	SEMVX	5.50		.25	1.53000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H854	HHHCX		1.00	1.00	2.16000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665X859	HHHFX				1.08000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H847	SEMNX				1.25000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H839	HHHRX			.50	1.79000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H821	HHHSX			.25	1.49000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H789	SEMTX				1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equ	41665H797	HHHYX				1.17000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H771	SMSVX	4.50		.25	1.41000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H763	HFZCX		1.00	1.00	2.23000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665X842	HFZFX				0.98000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H755	SMSNX				1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H748	HFZRX			.50	1.70000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H730	HFZSX			.25	1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H698	SMSRX				0.98000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Mul	41665H714	HFZYX				1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H433	SIDVX	5.50		.25	1.12000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H425	HFYCX		1.00	1.00	1.86000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665X792	HFYFX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H417	SIDNX				0.85000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H391	HFYRX			.50	1.48000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H383	HFYSX			.25	1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H359	SIDRX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap	41665H367	HFYYX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H524	SCVEX	5.50		.25	1.12000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H516	HSWCX		1.00	1.00	1.85000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665X818	HSWFX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H490	SCIEX				0.83000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Ratio	Expense	Fee	
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H482	HSWRX				.50	1.46000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H474	HSWSX				.25	1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H441	SCIJX					0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fur	41665H458	HSWYX					0.82000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fu	41665X560	HITAX	3.00			.25	1.62000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fu	41665X313	HITCX		1.00	1.00		2.54000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fu	41665X537	HITFX					1.30000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fu	41665X552	HITIX					1.35000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fu	41665X529	HITSX					1.30000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fu	41665X545	HITYX					1.35000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund	41665H607	STWVX	4.50			.25	0.83000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund	41665H706	HFKCX		1.00	1.00		1.62000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund	41665X867	HFKFX					0.53000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund	41665H805	STWTX					0.61000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund	41665H870	HFKVX					0.53000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund	41665H888	HFKYX					0.64000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H250	SMDVX	5.50			.25	1.19000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H243	HFDCX		1.00	1.00		1.93000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665X776	HFDX					0.82000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H235	SMDIX					0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H227	HFDRX				.50	1.54000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H219	HFDSX				.25	1.24000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H177	SMDRX					0.82000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunit	41665H185	HFDYX					0.92000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H342	SCUVX	5.50			.25	1.46000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H334	HOOCX		1.00	1.00		2.21000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665X784	HOOFX					1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H326	SCUIX					1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H318	HOORX				.50	1.77000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H292	HOOSX				.25	1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H268	SCURX					1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportu	41665H276	HOOYX					1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class A	416646198	HSDAX	2.00			.25	0.83000		BUY,SELL
Hartford Mutual Funds	Hartford Short Duration Fund Class C	416646172	HSDCX		1.00	1.00		1.54000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class F	41664T313	HSDFX					0.44000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class I	41664M813	HSDIX					0.52000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class R3	41664R879	HSDRX				.50	1.15000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hartford Mutual Funds	Hartford Short Duration Fund Class R4	41664R861	HSDSX			.25	0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class Y	416648822	HSDYX				0.55000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class A	416529105	HSLAX	5.50		.25	1.26000		BUY,SELL
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class C	416529303	HSLCX		1.00	1.00	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class F	41665X594	HSLFX				0.77000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class I	416641306	HSLIX				0.85000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class R3	416641702	HSLRX			.50	1.49000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class R4	416641868	HLSLX			.25	1.19000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class Y	416529808	HSLYX				0.88000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class A	416648640	HSMAX	5.50		.25	1.41000		BUY,SELL
Hartford Mutual Funds	Hartford Small Cap Value Fund Class C	416648624	HTSCX		1.00	1.00	2.15000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class F	41664T297	HSMFX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class I	41664R176	HSEIX				1.04000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class R3	41664R101	HSMRX			.00	1.63000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class R4	41664R200	HSMSX			.25	1.33000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class Y	416648616	HSMYX				1.02000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund	41664T206	HMKCX		1.00	1.00	1.70000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund	41664T370	HMKFX				0.58000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund	41664T305	HMKIX				0.69000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	416648244	HBLAX	5.50		.25	0.89000		BUY,SELL
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	416648228	HBLCX		1.00	1.00	1.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	41664T727	HBLFX				0.56000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	41664M821	HBLIX				0.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	41664M797	HBLRX			.50	1.24000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	41664M789	HBLSX			.25	0.95000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class	416648210	HBLYX				0.67000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	416645406	ITHAX	5.50		.25	1.07000		BUY,SELL
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	416645638	HCACX		1.00	1.00	1.84000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	41664T719	HCAFX				0.70000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	416649309	ITHIX				0.78000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	416649655	ITHRX			.50	1.41000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	416649358	ITHSX			.25	1.10000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Cl	416645604	HCAAYX				0.80000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	416645844	IHGIX	5.50		.25	1.00000		BUY,SELL
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	416645596	HDGCX		1.00	1.00	1.78000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	41664T669	HDGFX				0.65000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	416649606	HDGIX				0.74000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible	
							Expense Ratio			
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	416649580	HDGRX				.50	1.36000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	416649283	HDGSX				.00	1.05000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund C	416645828	HDGYX					0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class A	416648889	HQIAX	5.50			.25	1.01000		BUY,SELL
Hartford Mutual Funds	The Hartford Equity Income Fund Class C	416648863	HQICX		1.00	1.00		1.76000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class F	41664T628	HQIFX					0.66000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class I	416649705	HQIIX					0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class R	416649663	HQIRX				.00	1.36000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class R	416649366	HQISX				.25	1.00000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class Y	416648855	HQIYX					0.76000		SELL ONLY
Hartford Mutual Funds	The Hartford Global Real Asset Fund Clas	41664M573	HRLCX		1.00	1.00		2.34000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	416529881	HGOAX	5.50			.25	1.10000		BUY,SELL
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	416529865	HGOCX		1.00	1.00		1.85000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	41665X644	HGOFX					0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	416641207	HGOIX					0.82000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	416641603	HGORX				.50	1.43000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	416641876	HGOSX				.25	1.13000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund C	416529816	HGOYX					0.82000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class A	416645398	HGHAX	5.50			.25	1.27000		BUY,SELL
Hartford Mutual Funds	The Hartford Healthcare Fund Class C	416645372	HGHCX		1.00	1.00		2.04000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class F	41664T529	HGHFX					0.90000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class I	416649887	HGHIX					0.99000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class R3	416649671	HGHRX				.50	1.60000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class R4	416649374	HGHSX				.25	1.30000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class Y	416645364	HGHYX					1.00000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fu	416645703	IHOAX	5.50			.25	1.13000		BUY,SELL
Hartford Mutual Funds	The Hartford International Opportunities Fu	416645620	HIOCX		1.00	1.00		1.90000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fu	41664T461	IHOFX					0.70000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fu	41664L294	IHOIX					0.79000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fu	416649549	IHORX				.50	1.42000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fu	416649242	IHOSX				.25	1.11000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fu	416645885	HAOYX					0.80000		SELL ONLY
Hartford Mutual Funds	The Hartford International Value Fund Clas	41664M649	HILYX					0.93000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class A	416645711	HFMCX	5.50			.25	1.11000		BUY,SELL
Hartford Mutual Funds	The Hartford MidCap Fund Class C	416645554	HMDCX		1.00	1.00		1.87000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class F	41664T420	HMDFX					0.75000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class I	41664M870	HFMIX					0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Hartford Mutual Funds	The Hartford MidCap Fund Class R3	41664M862	HFMRX			.50	1.47000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class R4	41664M854	HFMSX			.25	1.17000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class Y	416645687	HMDYX				0.86000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class	416645109	IHSAX	5.50		.25	1.32000		BUY,SELL
Hartford Mutual Funds	The Hartford Small Company Fund Class	416645646	HSMCX		1.00	1.00	2.14000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class	41664T271	IHSFX				0.90000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class	416649838	IHSIX				1.00000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class	416649697	IHSRX			.00	1.61000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class	416649390	IHSSX			.25	1.30000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class	416645307	HSCYX				0.96000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664L666	HSNAX	4.50		.25	0.98000		BUY,SELL
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664L641	HSNCX		1.00	1.00	1.70000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664T263	HSNFX				0.59000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664L633	HSNIX				0.70000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664R408	HSNRX			.50	1.30000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664R507	HSNSX			.25	1.00000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class	41664L583	HSNYX				0.70000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	416645778	ITBAX	4.50		.25	0.71000		BUY,SELL
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	416645570	HABCX		1.00	1.00	1.51000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	41664T255	ITBFX				0.34000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	416649820	ITBIX				0.45000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	416649556	ITBRX			.50	1.06000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	416649259	ITBUX			.25	0.76000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class	416645752	HABYX				0.45000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class A	41664M250	HWDX	4.50		.25	1.03000		BUY,SELL
Hartford Mutual Funds	The Hartford World Bond Fund Class C	41664M243	HWDCX		1.00	1.00	1.76000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class F	41664T222	HWDFX				0.65000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class I	41664M235	HWDX				0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class R3	41664M227	HWDRX			.50	1.37000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class R4	41664M219	HWDSX			.25	1.06000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class Y	41664M185	HWDYX				0.75000		SELL ONLY
Heartland	Heartland Mid Cap Value Fund Institutional	422352799	HNMDX				0.96000	2.00	SELL ONLY
Heartland	Heartland Mid Cap Value Fund Investor Class	422352815	HRMDX			.25	1.21000	2.00	SELL ONLY
Heartland	Heartland Value Fund Institutional Class	422352831	HNTVX				0.95000	2.00	SELL ONLY
Heartland	Heartland Value Fund Investor Class	422359109	HRTVX			.25	1.10000	2.00	SELL ONLY
Heartland	Heartland Value Plus Fund Institutional Class	422352849	HNVIX				0.97000	2.00	SELL ONLY
Heartland	Heartland Value Plus Fund Investor Class	422352500	HRVIX			.25	1.23000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hennessy	Hennessy Balanced Fund Investor Class	425887106	HBFBX			.15	1.89000		SELL ONLY
Hennessy	Hennessy BP Energy Fund Institutional Class	42588P734	HNRIX				2.01000		SELL ONLY
Hennessy	Hennessy BP Energy Fund Investor Class	42588P742	HNRGX			.15	2.59000		SELL ONLY
Hennessy	Hennessy BP Midstream Fund Institutional Class	42588P718	HMSIX				1.79000		SELL ONLY
Hennessy	Hennessy BP Midstream Fund Investor Class	42588P726	HMSFX			.15	2.12000		SELL ONLY
Hennessy	Hennessy Cornerstone Growth Fund Class	425888500	HICGX				1.05000		SELL ONLY
Hennessy	Hennessy Cornerstone Growth Fund Investor Class	425888104	HFCGX			.15	1.36000		SELL ONLY
Hennessy	Hennessy Cornerstone Large Growth Fund Class	42588P403	HILGX				1.01000		SELL ONLY
Hennessy	Hennessy Cornerstone Large Growth Fund Investor Class	42588P205	HFLGX			.15	1.31000		SELL ONLY
Hennessy	Hennessy Cornerstone Mid Cap 30 Fund Institutional Class	425888609	HIMDX				1.01000		SELL ONLY
Hennessy	Hennessy Cornerstone Mid Cap 30 Fund Investor Class	425888302	HFMDX			.15	1.37000		SELL ONLY
Hennessy	Hennessy Cornerstone Value Fund Class	425888401	HICVX				1.08000		SELL ONLY
Hennessy	Hennessy Cornerstone Value Fund Investor Class	425888203	HFCVX			.15	1.30000		SELL ONLY
Hennessy	Hennessy Equity and Income Fund Institutional Class	42588P817	HEIIX				1.19000		SELL ONLY
Hennessy	Hennessy Equity and Income Fund Investor Class	42588P825	HEIFX			.15	1.56000		SELL ONLY
Hennessy	Hennessy Focus Fund Institutional Class	42588P809	HFCIX				1.14000		SELL ONLY
Hennessy	Hennessy Focus Fund Investor Class	42588P700	HFCSX			.15	1.51000		SELL ONLY
Hennessy	Hennessy Gas Utility Fund Institutional Class	42588P759	HGASX				0.70000		SELL ONLY
Hennessy	Hennessy Gas Utility Fund Investor Class	42588P833	GASFX			.15	1.02000		SELL ONLY
Hennessy	Hennessy Japan Fund Institutional Class	425894201	HJPIX				1.04000		SELL ONLY
Hennessy	Hennessy Japan Fund Investor Class	425894102	HJPNX			.15	1.43000		SELL ONLY
Hennessy	Hennessy Japan Small Cap Fund Institutional Class	42588P767	HJSIX				1.13000		SELL ONLY
Hennessy	Hennessy Japan Small Cap Fund Investor Class	425894300	HJPSX			.15	1.55000		SELL ONLY
Hennessy	Hennessy Large Cap Financial Fund Institutional Class	42588P775	HILFX				1.45000		SELL ONLY
Hennessy	Hennessy Large Cap Financial Fund Investor Class	42588P882	HLFNX			.15	1.75000		SELL ONLY
Hennessy	Hennessy Small Cap Financial Fund Institutional Class	42588P866	HISFX				1.30000		SELL ONLY
Hennessy	Hennessy Small Cap Financial Fund Investor Class	42588P874	HSFNX			.15	1.66000		SELL ONLY
Hennessy	Hennessy Technology Fund Institutional Class	42588P841	HTCIX				3.08000		SELL ONLY
Hennessy	Hennessy Technology Fund Investor Class	42588P858	HTECX			.15	3.45000		SELL ONLY
Hennessy	Hennessy Total Return Fund Investor Class	425887205	HDOGX			.15	1.73000		SELL ONLY
Highland Funds	First Foundation Fixed Income Class A	00774Q247	FFBAX	4.25		.25	0.90000		SELL ONLY
Highland Funds	First Foundation Fixed Income Class Y	00774Q239	FFBYX				0.65000		SELL ONLY
Highland Funds	First Foundation Total Return Fund Class A	00774Q221	FBBAX	5.75		.25	1.33000		SELL ONLY
Highland Funds	First Foundation Total Return Fund Class Y	00774Q213	FBBYX				1.08000		SELL ONLY
Highland Funds	Highland Fixed Income Fund Class B	43090E639	HFBBX		3.00	1	1.7900		SELL ONLY
Highland Funds	Highland Healthcare Opportunities Fund Class A	430101808	HHCAH	5.50		.35	2.75000		SELL ONLY
Highland Funds	Highland Healthcare Opportunities Fund Class B	430101881	HHCCX		1.00	1.00	3.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Highland Funds	Highland Healthcare Opportunities Fund C	430101873	HHCZX				2.40000		SELL ONLY
Highland Funds	Highland Small-Cap Equity Fund Class A	43090E811	HSZAX	5.75		.25	4.32000		SELL ONLY
Highland Funds	Highland Small-Cap Equity Fund Class C	43090E787	HSZCX		1.00	1.00	5.07000		SELL ONLY
Highland Funds	Highland Small-Cap Equity Fund Class Y	43090E761	HSZYX				4.07000		SELL ONLY
Highland Funds	NexPoint Merger Arbitrage Fund Class A	430101667	HMEAX	5.50		.35	3.70000		SELL ONLY
Highland Funds	NexPoint Merger Arbitrage Fund Class C	430101659	HMECX		1.00	1.00	4.35000		SELL ONLY
Highland Funds	NexPoint Merger Arbitrage Fund Class Z	430101642	HMEZX				3.35000		SELL ONLY
Hodges	Hodges Blue Chip Equity Income Fund Re	742935174	HDPBX			.25	1.64000	1.00	SELL ONLY
Hodges	Hodges Fund Retail Class	742935109	HDPMX			.25	1.41000	1.00	SELL ONLY
Hodges	Hodges Small Cap Fund Institutional Class	742935224	HDSIX				1.15000	1.00	SELL ONLY
Hodges	Hodges Small Cap Fund Retail Class	742935299	HDPSX			.25	1.40000	1.00	SELL ONLY
Hodges	Hodges Small Intrinsic Value Fund Retail C	74316J318	HDSVX			.25	2.48000	1.00	SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Diversified Value Fund C	44134R750	HWCAW	5.25		.25	1.24000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Diversified Value Fund C	44134R743	HWCCX		1.00	1.00	1.97000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Diversified Value Fund C	44134R768	HWCIW				1.03000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Global Value Fund Class	44134R677	HWGAX	5.25		.25	1.48000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Global Value Fund Class	44134R685	HWGIX				1.29000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class A	44134R727	HWHAX	3.75		.25	0.97000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class C	44134R669	HWHCX		1.00	1.00	1.71000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class I	44134R735	HWHIX				0.75000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class Z	44134R529	HWHZX				0.65000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley International Value Fund	44134R636	HWNIX				5.13000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund C	44134R107	HWLAX	5.25		.25	1.18000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund C	44134R701	HWLCX		1.00	1.00	1.92000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund C	44134R503	HWLIX				0.98000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund C	44134R511	HWLZX				0.84000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Cla	44134R206	HWMAX	5.25		.25	1.23000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Cla	44134R875	HWMCX		1.00	1.00	2.01000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Cla	44134R800	HWMIX				1.04000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Cla	44134R495	HWMZX				0.88000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Va	44134R644	HWVAX	5.25		.25	1.14000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Va	44134R651	HWVIX				0.87000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Va	44134R479	HWVZX				0.77000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund C	44134R305	HWSAX	5.25		.25	1.25000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund C	44134R842	HWSCX		1.00	1.00	1.99000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund C	44134R867	HWSIX				1.07000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund C	44134R487	HWSZX				0.87000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund	44134R792	HWAAX	5.25		.25	1.24000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund	44134R826	HWACX		1.00	1.00	1.93000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund	44134R834	HWAIX				0.94000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund	44134R461	HWAZX				0.87000		SELL ONLY