

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1	Gross	Redemption	Buy/Sell Eligible
				Load	CDSC		Expense Ratio		
Macquarie Investment M	Delaware Small Cap Growth Fund Cl C	246118509	DSCCX		1.00	1	3.5500		BUY, SELL
Mairs & Power	Mairs & Power Balanced Fund Investor Cla	56064V304	MAPOX				0.71000		SELL ONLY
Mairs & Power	Mairs & Power Growth Fund Investor Clas	56064V205	MPGFX				0.64000		SELL ONLY
Mairs & Power	Mairs & Power Small Cap Fund	56064V106	MSCFX				0.94000	1.00	SELL ONLY
Manning & Napier	Manning & Napier Core Bond Series Class	56382R720	EXCIX				0.46000		SELL ONLY
Manning & Napier	Manning & Napier Core Bond Series Class	563821404	EXCRX			.25	0.64000		SELL ONLY
Manning & Napier	Manning & Napier Core Bond Series Class	56382R233	MCBZX				0.37000		SELL ONLY
Manning & Napier	Manning & Napier Disciplined Value Series	56382P658	MNDFX				0.55000		SELL ONLY
Manning & Napier	Manning & Napier Disciplined Value Series	56382P476	MDFSX			.25	0.76000		SELL ONLY
Manning & Napier	Manning & Napier Disciplined Value Series	56382R274	MDVZX				0.45000		SELL ONLY
Manning & Napier	Manning & Napier Diversified Tax Exempt	563821677	EXDVX				0.61000		SELL ONLY
Manning & Napier	Manning & Napier Equity Series Class S	563821602	EXEYX			.00	1.31000		SELL ONLY
Manning & Napier	Manning & Napier High Yield Bond Series	56382P195	MNHAX				0.76000		SELL ONLY
Manning & Napier	Manning & Napier High Yield Bond Series	56382P583	MNHYX			.25	1.04000		SELL ONLY
Manning & Napier	Manning & Napier High Yield Bond Series	56382R241	MHYZX				0.65000		SELL ONLY
Manning & Napier	Manning & Napier New York Tax Exempt	563821719	EXNTX				0.68000		SELL ONLY
Manning & Napier	Manning & Napier Overseas Series Class	563821503	EXOSX				0.80000		SELL ONLY
Manning & Napier	Manning & Napier Overseas Series Class	56382R480	MNOSX			.25	1.12000		SELL ONLY
Manning & Napier	Manning & Napier Overseas Series Class	56382R472	MNOZX				0.72000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Conservative	56382P690	MNCIX				0.60000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Conservative	56382P633	MNCCX			1.00	1.55000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Conservative	563821628	MNCRX			.50	1.04000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Conservative	563821651	EXDAX			.25	0.87000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Extended Te	56382P674	MNBIX				0.81000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Extended Te	56382P617	MNECX			1.00	1.77000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Extended Te	563821446	MNBRX			.50	1.31000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Extended Te	563821768	MNBAX			.25	1.02000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Maximum Te	56382P666	MNHIX				0.89000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Maximum Te	56382P591	MNHGX			1.00	1.81000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Maximum Te	563821560	MNHRX			.50	1.30000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Maximum Te	563821594	EXHAX			.25	1.10000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Moderate Te	56382P682	MNMIX				0.86000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Moderate Te	56382P625	MNMCX			1.00	1.77000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Moderate Te	563821487	MNMRX			.50	1.36000		SELL ONLY
Manning & Napier	Manning & Napier Pro-Blend Moderate Te	563821776	EXBAX			.25	1.07000		SELL ONLY
Manning & Napier	Manning & Napier Rainier International Dis	56382R688	RAIIX				1.16000		SELL ONLY
Manning & Napier	Manning & Napier Rainier International Dis	56382R670	RISAX			.25	1.46000		SELL ONLY

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Manning & Napier	Manning & Napier Rainier International Dis	56382R662	RAIRX				1.08000		SELL ONLY
Manning & Napier	Manning & Napier Real Estate Series Clas	56382P187	MNRIX				0.86000		SELL ONLY
Manning & Napier	Manning & Napier Real Estate Series Clas	56382P641	MNREX			.25	1.13000		SELL ONLY
Manning & Napier	Manning & Napier Real Estate Series Clas	56382R258	MNRZX				0.74000		SELL ONLY
Manning & Napier	Manning & Napier Unconstrained Bond Se	56382P112	MNCPX				0.50000		SELL ONLY
Manning & Napier	Manning & Napier Unconstrained Bond Se	563821206	EXCPX			.25	0.74000		SELL ONLY
Marketfield Funds	Marketfield Fund Class A	89834E278	MFADX	5.50		.25	2.91000		SELL ONLY
Marketfield Funds	Marketfield Fund Class C	89834E252	MFCDX		1.00	1.00	3.62000		SELL ONLY
Marketfield Funds	Marketfield Fund Class I	89834E245	MFLDX				2.63000		SELL ONLY
Marsico Investment Fun	Marsico Focus Fund	573012101	MFOCX			.25	1.49000		SELL ONLY
Marsico Investment Fun	Marsico Global Fund	573012606	MGLBX			.25	1.73000		SELL ONLY
Marsico Investment Fun	Marsico Growth Fund	573012200	MGRIX			.25	1.50000		SELL ONLY
Marsico Investment Fun	Marsico International Opportunities Fund	573012408	MIOFX			.25	1.81000		SELL ONLY
Marsico Investment Fun	Marsico Midcap Growth Focus Fund	573012309	MXXIX			.25	1.40000		SELL ONLY
MD Sass	Integrity Short Term Government Fund Cla	45890C630	MDSAX	2.00		.25	1.34000		SELL ONLY
MD Sass	Integrity Short Term Government Fund Cla	45890C622	MDSIX				1.09000		SELL ONLY
Meridian	Meridian Contrarian Fund A Class	589619865	MFCAX	5.75		.25	1.48000	2.00	SELL ONLY
Meridian	Meridian Contrarian Fund Class C	589619774	MFCCX		1.00	.25	1.48000		SELL ONLY
Meridian	Meridian Contrarian Fund Investor Class	589619873	MFCIX			.00	1.19000	2.00	SELL ONLY
Meridian	Meridian Contrarian Fund Legacy Class	589619204	MVALX				1.12000	2.00	SELL ONLY
Meridian	Meridian Enhanced Equity Fund? A Class	589619501	MRAEX	5.75		.25	1.64000	2.00	SELL ONLY
Meridian	Meridian Enhanced Equity Fund? Class C	589619790	MRCEX		1.00	1.00	2.25000		SELL ONLY
Meridian	Meridian Enhanced Equity Fund? Investor	589619402	MRIEX			.00	1.35000	2.00	SELL ONLY
Meridian	Meridian Enhanced Equity Fund? Legacy C	589619303	MEIFX				1.28000	2.00	SELL ONLY
Meridian	Meridian Growth Fund? A Class	589619808	MRAGX	5.75		.25	1.17000	2.00	SELL ONLY
Meridian	Meridian Growth Fund? Class C	589619782	MRCGX		1.00	1.00	1.87000		SELL ONLY
Meridian	Meridian Growth Fund? Institutional Class	589619881	MRRGX				0.82000	2.00	SELL ONLY
Meridian	Meridian Growth Fund? Investor Class	589619709	MRIGX			.00	0.86000	2.00	SELL ONLY
Meridian	Meridian Growth Fund? Legacy Class	589619105	MERDX				0.85000	2.00	SELL ONLY
Meridian	Meridian Small Cap Growth Fund A Class	589619832	MSGAX	5.75		.25	1.50000	2.00	SELL ONLY
Meridian	Meridian Small Cap Growth Fund Class C	589619766	MSGCX		1.00	1.00	2.19000		SELL ONLY
Meridian	Meridian Small Cap Growth Fund Institutio	589619824	MSGRX				1.11000	2.00	SELL ONLY
Meridian	Meridian Small Cap Growth Fund Investor	589619840	MISGX			.00	1.30000	2.00	SELL ONLY
Meridian	Meridian Small Cap Growth Fund Legacy C	589619816	MSGGX				1.14000	2.00	SELL ONLY
Merk Funds	Merk Hard Currency Fund Class Investor	34984T402	MERKX			.25	1.33000		SELL ONLY
Merk Funds	Merk Hard Currency Fund Institutional Cla	34984T501	MHCIX				1.08000		SELL ONLY
Metropolitan West Fund	Metropolitan West AlphaTrak 500 Fund	592905400	MWATX			.00	1.27000		SELL ONLY

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							Expense Ratio	Fee	
Metropolitan West Fund	Metropolitan West Corporate Bond Fund C	592905665	MWCBX				3.54000		SELL ONLY
Metropolitan West Fund	Metropolitan West Corporate Bond Fund C	592905657	MWCSX			.25	3.16000		SELL ONLY
Metropolitan West Fund	Metropolitan West Flexible Income Fund C	592905715	MWFEX				1.01000		SELL ONLY
Metropolitan West Fund	Metropolitan West Flexible Income Fund C	592905699	MWFSX			.25	1.28000		SELL ONLY
Metropolitan West Fund	Metropolitan West Floating Rate Income F	592905723	MWFLX				0.70000		SELL ONLY
Metropolitan West Fund	Metropolitan West Floating Rate Income F	592905731	MWFRX			.25	0.99000		SELL ONLY
Metropolitan West Fund	Metropolitan West High Yield Bond Fund C	592905848	MWHIX				0.61000		SELL ONLY
Metropolitan West Fund	Metropolitan West High Yield Bond Fund C	592905871	MWHYX			.25	0.91000		SELL ONLY
Metropolitan West Fund	Metropolitan West Intermediate Bond Fund	592905855	MWIIX				0.48000		SELL ONLY
Metropolitan West Fund	Metropolitan West Intermediate Bond Fund	592905863	MWIMX			.21	0.71000		SELL ONLY
Metropolitan West Fund	Metropolitan West Low Duration Bond Fun	592905780	MWLNK			.19	0.73000		SELL ONLY
Metropolitan West Fund	Metropolitan West Low Duration Bond Fun	592905608	MWLIX				0.42000		SELL ONLY
Metropolitan West Fund	Metropolitan West Low Duration Bond Fun	592905202	MWLDX			.19	0.62000		SELL ONLY
Metropolitan West Fund	Metropolitan West Strategic Income Fund	592905822	MWSIX				1.93000		SELL ONLY
Metropolitan West Fund	Metropolitan West Strategic Income Fund	592905830	MWSTX			.25	2.73000		SELL ONLY
Metropolitan West Fund	Metropolitan West Total Return Bond Fund	592905772	MWTNX			.21	0.78000		SELL ONLY
Metropolitan West Fund	Metropolitan West Total Return Bond Fund	592905509	MWTIX				0.45000		SELL ONLY
Metropolitan West Fund	Metropolitan West Total Return Bond Fund	592905103	MWTRX			.21	0.67000		SELL ONLY
Metropolitan West Fund	Metropolitan West Total Return Bond Fund	592905764	MWTSX				0.37000		SELL ONLY
Metropolitan West Fund	Metropolitan West Ultra Short Bond Fund	592905798	MWUIX				0.48000		SELL ONLY
Metropolitan West Fund	Metropolitan West Ultra Short Bond Fund	592905814	MWUSX			.16	0.65000		SELL ONLY
Metropolitan West Fund	Metropolitan West Unconstrained Bond Fu	592905749	MWCIX				0.75000		SELL ONLY
Metropolitan West Fund	Metropolitan West Unconstrained Bond Fu	592905756	MWCRX			.25	1.03000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G538	EAGTX	5.75		.25	1.11000		BUY,SELL
MFS	MFS Aggressive Growth Allocation Fund C	55273G520	EBAAX		4.00	1.00	1.86000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G512	ECAAX		1.00	1.00	1.86000		BUY,SELL
MFS	MFS Aggressive Growth Allocation Fund C	55273G686	MAAGX	5.75		.25	1.06000		BUY,SELL
MFS	MFS Aggressive Growth Allocation Fund C	55273G678	MBAGX		4.00	1.00	1.81000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G660	MCAGX		1.00	1.00	1.81000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G652	MIAGX				0.81000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G132	MAAFX			1.00	1.81000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G371	MAWAX			.50	1.31000		SELL ONLY
MFS	MFS Aggressive Growth Allocation Fund C	55273G124	MAAHX			.25	1.06000		SELL ONLY
MFS	MFS Alabama Municipal Bond Fund Class	55273N780	MBABX		4.00		1.76000		SELL ONLY
MFS	MFS Alabama Municipal Bond Fund Class	55273N392	MLALX				0.76000		SELL ONLY
MFS	MFS Alabama Municipal Bond Fund Class	55273N269	MPOLX				0.69000		SELL ONLY
MFS	MFS Arkansas Municipal Bond Fund Class	55273N772	MBARX		4.00		1.66000		SELL ONLY

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				Load	CDSC	Fees	Expense Ratio	Fee		
MFS	MFS Arkansas Municipal Bond Fund Class	55273N426	MARLX					0.66000		SELL ONLY
MFS	MFS Arkansas Municipal Bond Fund Class	55273N251	MPRAX					0.59000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W400	MUEAX	5.75			.25	0.82000		BUY,SELL
MFS	MFS Blended Research Core Equity Fund	55273W509	MUSBX		4.00	1.00	1.00	1.57000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W608	MUECX		1.00	1.00	1.00	1.57000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W103	MUSEX					0.57000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W541	MUERX				1.00	1.57000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W533	MUESX				.50	1.07000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W525	MUETX				.25	0.82000		SELL ONLY
MFS	MFS Blended Research Core Equity Fund	55273W483	MUEVX					0.46000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987331	BRKAX	5.75			.25	2.30000		BUY,SELL
MFS	MFS Blended Research Emerging Markets	552987323	BRKBX		4.00	1.00	1.00	3.05000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987315	BRKCX		1.00	1.00	1.00	3.05000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987299	BRKIX					2.05000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987281	BRKRX				1.00	3.05000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987273	BRKSX				.50	2.55000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987265	BRKTX				.25	2.30000		SELL ONLY
MFS	MFS Blended Research Emerging Markets	552987240	BRKVX					1.98000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743874	BRWAX	5.75			.25	0.90000		BUY,SELL
MFS	MFS Blended Research Growth Equity Fur	552743866	BRWBX		4.00	1.00	1.00	1.65000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743858	BRWCX		1.00	1.00	1.00	1.65000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743841	BRWJX					0.65000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743833	BRWRX				1.00	1.65000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743825	BRWSX				.50	1.15000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743817	BRWTX				.25	0.90000		SELL ONLY
MFS	MFS Blended Research Growth Equity Fur	552743783	BRWVX					0.55000		SELL ONLY
MFS	MFS Blended Research International Equi	552987539	BRXAX	5.75			.25	0.99000		BUY,SELL
MFS	MFS Blended Research International Equi	552987521	BRXBX		4.00	1.00	1.00	1.74000		SELL ONLY
MFS	MFS Blended Research International Equi	552987513	BRXCX		1.00	1.00	1.00	1.74000		SELL ONLY
MFS	MFS Blended Research International Equi	552987497	BRXIX					0.74000		SELL ONLY
MFS	MFS Blended Research International Equi	552987489	BRXRX				1.00	1.74000		SELL ONLY
MFS	MFS Blended Research International Equi	552987471	BRXSX				.50	1.24000		SELL ONLY
MFS	MFS Blended Research International Equi	552987463	BRXTX				.25	0.99000		SELL ONLY
MFS	MFS Blended Research International Equi	552987448	BRXVX					0.65000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743643	BMSFX	5.75			.25	0.96000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743635	BMSBX		4.00	1.00	1.00	1.71000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743627	BMSDX		1.00	1.00	1.00	1.71000		SELL ONLY

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MFS	MFS Blended Research Mid Cap Equity Fu	552743619	BMSLX					0.71000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743593	BMSRX				1.00	1.71000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743585	BMSSX				.50	1.21000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743577	BMSTX				.25	0.96000		SELL ONLY
MFS	MFS Blended Research Mid Cap Equity Fu	552743551	BMSYX					0.61000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743676	BRSNX	5.75			.25	1.21000		BUY,SELL
MFS	MFS Blended Research Small Cap Equity	552743668	BRSQX		4.00		1.00	1.96000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743650	BRSWX		1.00		1.00	1.96000		BUY,SELL
MFS	MFS Blended Research Small Cap Equity	552743775	BRSDX	5.75			.25	1.16000		BUY,SELL
MFS	MFS Blended Research Small Cap Equity	552743767	BRSBX		4.00		1.00	1.91000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743759	BRSHX		1.00		1.00	1.91000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743742	BRSJX					0.91000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743734	BRSPX				1.00	1.91000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743726	BRSSX				.50	1.41000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743718	BRSTX				.25	1.16000		SELL ONLY
MFS	MFS Blended Research Small Cap Equity	552743684	BRSYX					0.82000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746224	BRUDX	5.75			.25	0.91000		BUY,SELL
MFS	MFS Blended Research Value Equity Fund	552746216	BRUEX		4.00		1.00	1.66000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746190	BRUGX		1.00		1.00	1.66000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746182	BRUHX					0.66000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746174	BRUJX				1.00	1.66000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746166	BRUKX				.50	1.16000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746158	BRULX				.25	0.91000		SELL ONLY
MFS	MFS Blended Research Value Equity Fund	552746133	BRUNX					0.56000		SELL ONLY
MFS	MFS California Municipal Bond Fund Class	55273N582	MBCAX		4.00			1.60000		SELL ONLY
MFS	MFS California Municipal Bond Fund Class	55273N558	MCCAX		1.00			1.60000		SELL ONLY
MFS	MFS California Municipal Bond Fund Class	55273N418	MCAVX					0.60000		SELL ONLY
MFS	MFS California Municipal Bond Fund Class	55273N244	MPOAX					0.52000		SELL ONLY
MFS	MFS Commodity Strategy Fund Class A	55276T859	MCSAX	5.75			.25	1.13000		SELL ONLY
MFS	MFS Commodity Strategy Fund Class I	55276T842	MCSIX					0.88000		SELL ONLY
MFS	MFS Commodity Strategy Fund Class R6	55276T826	MCSRX					0.83000		SELL ONLY
MFS	MFS Conservative Allocation Fund Class 5	55273G645	ECLAX	5.75			.25	0.94000		BUY,SELL
MFS	MFS Conservative Allocation Fund Class 5	55273G637	EBCAX		4.00		1.00	1.69000		SELL ONLY
MFS	MFS Conservative Allocation Fund Class 5	55273G629	ECACX		1.00		1.00	1.69000		BUY,SELL
MFS	MFS Conservative Allocation Fund Class A	55273G827	MACFX	5.75			.25	0.89000		BUY,SELL
MFS	MFS Conservative Allocation Fund Class B	55273G819	MACBX		4.00		1.00	1.64000		SELL ONLY
MFS	MFS Conservative Allocation Fund Class C	55273G793	MACVX		1.00		1.00	1.64000		SELL ONLY

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MFS	MFS Conservative Allocation Fund Class I	55273G785	MACIX				0.64000		SELL ONLY
MFS	MFS Conservative Allocation Fund Class F	552746406	MACKX			1.00	1.64000		SELL ONLY
MFS	MFS Conservative Allocation Fund Class F	55273G355	MCARX			.50	1.14000		SELL ONLY
MFS	MFS Conservative Allocation Fund Class F	552746505	MACNX			.25	0.89000		SELL ONLY
MFS	MFS Core Equity Fund Class A	552983884	MARGX	5.75		.25	0.98000		BUY,SELL
MFS	MFS Core Equity Fund Class B	552983827	MRGBX		4.00	1.00	1.73000		SELL ONLY
MFS	MFS Core Equity Fund Class C	552983819	MARGCX		1.00	1.00	1.73000		SELL ONLY
MFS	MFS Core Equity Fund Class I	552983686	MRGRX				0.73000		SELL ONLY
MFS	MFS Core Equity Fund Class R1	55273H726	MRGGX			1.00	1.73000		SELL ONLY
MFS	MFS Core Equity Fund Class R2	552983165	MRERX			.50	1.23000		SELL ONLY
MFS	MFS Core Equity Fund Class R3	55273H718	MRGHX			.25	0.98000		SELL ONLY
MFS	MFS Core Equity Fund Class R6	55273H320	MARGKX				0.64000		SELL ONLY
MFS	MFS Corporate Bond Fund Class A	55272P208	MFBFX	4.25		.25	0.76000		BUY,SELL
MFS	MFS Corporate Bond Fund Class B	55272P307	MFB BX		4.00	1.00	1.51000		SELL ONLY
MFS	MFS Corporate Bond Fund Class C	55272P703	MFB CX		1.00	1.00	1.51000		SELL ONLY
MFS	MFS Corporate Bond Fund Class I	55272P877	MBDIX				0.51000		SELL ONLY
MFS	MFS Corporate Bond Fund Class R1	55272P166	MFBGX			1.00	1.51000		SELL ONLY
MFS	MFS Corporate Bond Fund Class R2	55272P356	MBRRX			.50	1.01000		SELL ONLY
MFS	MFS Corporate Bond Fund Class R3	55272P158	MFBHX			.25	0.76000		SELL ONLY
MFS	MFS Corporate Bond Fund Class R6	55274K702	MFBKX				0.42000		SELL ONLY
MFS	MFS Diversified Income Fund Class A	552982837	DIFAX	4.25			0.99000		BUY,SELL
MFS	MFS Diversified Income Fund Class C	552982829	DIFCX		1.00		1.74000		SELL ONLY
MFS	MFS Diversified Income Fund Class I	552982811	DIFIX				0.74000		SELL ONLY
MFS	MFS Diversified Income Fund Class R1	552982795	DIFDX				1.74000		SELL ONLY
MFS	MFS Diversified Income Fund Class R2	552982787	DIFEX				1.24000		SELL ONLY
MFS	MFS Diversified Income Fund Class R3	552982779	DIFFX				0.99000		SELL ONLY
MFS	MFS Diversified Income Fund Class R6	552982738	DIFHX				0.65000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class A	55273E673	MEDAX	4.25		.25	1.09000		BUY,SELL
MFS	MFS Emerging Markets Debt Fund Class F	55273E665	MEDBX		4.00	1.00	1.84000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class C	55273E657	MEDCX		1.00	1.00	1.84000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class I	55273E640	MEDIX				0.84000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class F	552743403	MEDDX			1.00	1.84000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class F	552743502	MEDEX			.50	1.34000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class F	552743601	MEDFX			.25	1.09000		SELL ONLY
MFS	MFS Emerging Markets Debt Fund Class F	552746364	MEDHX				0.73000		SELL ONLY
MFS	MFS Emerging Markets Debt Local Curren	552746455	EMLAX	4.25		.25	1.44000		BUY,SELL
MFS	MFS Emerging Markets Debt Local Curren	552746448	EMLBX		4.00	1.00	2.19000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
MFS	MFS Emerging Markets Debt Local Curren	552746430	EMLCX		1.00	1.00	2.19000		SELL ONLY
MFS	MFS Emerging Markets Debt Local Curren	552746422	EMLIX				1.19000		SELL ONLY
MFS	MFS Emerging Markets Debt Local Curren	552746414	EMLJX			1.00	2.19000		SELL ONLY
MFS	MFS Emerging Markets Debt Local Curren	552746398	EMLKX			.50	1.69000		SELL ONLY
MFS	MFS Emerging Markets Debt Local Curren	552746380	EMLLX			.25	1.44000		SELL ONLY
MFS	MFS Emerging Markets Debt Local Curren	552746323	EMLNX				1.08000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	55273E509	MEMAX	5.75		.25	1.39000		BUY,SELL
MFS	MFS Emerging Markets Equity Fund Class	55273E608	MEMBX		4.00	1.00	2.14000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	55273E889	MEMCX		1.00	1.00	2.14000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	55273E855	MEMIX				1.14000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	552746760	MEMRX			1.00	2.14000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	552746752	MEMFX			.50	1.64000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	552746745	MEMGX			.25	1.39000		SELL ONLY
MFS	MFS Emerging Markets Equity Fund Class	552746331	MEMJX				1.03000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988537	EEMPX	5.00		.25	8.18000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988529	EEMRX		1.00	1.00	8.93000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988511	EEMIX				7.93000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988495	EEMDX			1.00	8.93000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988487	EEMEX			.50	8.43000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988479	EEMFX			.25	8.18000		SELL ONLY
MFS	MFS Emerging Markets Equity Research F	552988453	EEMHX				7.86000		SELL ONLY
MFS	MFS Equity Income Fund Class A	552988636	EQNAX	5.00		.25	1.02000		BUY,SELL
MFS	MFS Equity Income Fund Class B	552988628	EQNBX		4.00	1.00	1.77000		SELL ONLY
MFS	MFS Equity Income Fund Class C	552988610	EQNCX		1.00	1.00	1.77000		SELL ONLY
MFS	MFS Equity Income Fund Class I	552988594	EQNIX				0.77000		SELL ONLY
MFS	MFS Equity Income Fund Class R1	552988586	EQNRX			1.00	1.77000		SELL ONLY
MFS	MFS Equity Income Fund Class R2	552988578	EQNSX			.50	1.27000		SELL ONLY
MFS	MFS Equity Income Fund Class R3	552988560	EQNTX			.25	1.02000		SELL ONLY
MFS	MFS Equity Income Fund Class R6	552988545	EQNVX				0.68000		SELL ONLY
MFS	MFS Georgia Municipal Bond Fund Class	55273N756	MBGAX		4.00		1.68000		SELL ONLY
MFS	MFS Georgia Municipal Bond Fund Class	55273N384	MGATX				0.68000		SELL ONLY
MFS	MFS Georgia Municipal Bond Fund Class	55273N236	MPGOX				0.63000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Clas	55276T107	DVRAX	5.75		.25	1.47000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Clas	55276T206	DVRBX		4.00	1.00	2.22000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Clas	55276T305	DVRCX		1.00	1.00	2.22000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Clas	55276T404	DVRIX				1.22000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Clas	55276T701	DVRFX			1.00	2.22000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
MFS	MFS Global Alternative Strategy Fund Class A	55276T883	DVRHX			.50	1.72000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Class B	55276T875	DVRJX			.25	1.47000		SELL ONLY
MFS	MFS Global Alternative Strategy Fund Class C	55276T834	DVRLX				1.13000		SELL ONLY
MFS	MFS Global Equity Fund Class A	552986507	MWAFX	5.75		.25	1.16000		BUY,SELL
MFS	MFS Global Equity Fund Class B	552986606	MWEBX		4.00	1.00	1.91000		SELL ONLY
MFS	MFS Global Equity Fund Class C	552986887	MWECX		1.00	1.00	1.91000		SELL ONLY
MFS	MFS Global Equity Fund Class I	552986861	MWEIX				0.91000		SELL ONLY
MFS	MFS Global Equity Fund Class R1	552986762	MWEGX			1.00	1.91000		SELL ONLY
MFS	MFS Global Equity Fund Class R2	552986796	MEQRX			.50	1.41000		SELL ONLY
MFS	MFS Global Equity Fund Class R3	552986754	MWEHX			.25	1.16000		SELL ONLY
MFS	MFS Global Equity Fund Class R6	552986622	MWEMX				0.82000		SELL ONLY
MFS	MFS Global Growth Fund Class A	552989303	MWAFX	5.75		.25	1.36000		BUY,SELL
MFS	MFS Global Growth Fund Class B	552989402	MWOBX		4.00	1.00	2.11000		SELL ONLY
MFS	MFS Global Growth Fund Class C	552989501	MWOCX		1.00	1.00	2.11000		SELL ONLY
MFS	MFS Global Growth Fund Class I	552989808	MWOIX				1.11000		SELL ONLY
MFS	MFS Global Growth Fund Class R1	552989832	MWOGX			1.00	2.11000		SELL ONLY
MFS	MFS Global Growth Fund Class R2	552989840	MGWRX			.50	1.61000		SELL ONLY
MFS	MFS Global Growth Fund Class R3	552989824	MWOHX			.25	1.36000		SELL ONLY
MFS	MFS Global Growth Fund Class R6	552989782	MWOKX				1.03000		SELL ONLY
MFS	MFS Global High Yield Fund Class A	552984700	MHOAX	4.25		.25	1.17000		BUY,SELL
MFS	MFS Global High Yield Fund Class B	552984809	MHOBX		4.00	1.00	1.92000		SELL ONLY
MFS	MFS Global High Yield Fund Class C	552984882	MHOCX		1.00	1.00	1.92000		SELL ONLY
MFS	MFS Global High Yield Fund Class I	552984874	MHOIX				0.92000		SELL ONLY
MFS	MFS Global High Yield Fund Class R1	552984759	MHORX			1.00	1.92000		SELL ONLY
MFS	MFS Global High Yield Fund Class R2	552984742	MHOSX			.50	1.42000		SELL ONLY
MFS	MFS Global High Yield Fund Class R3	552984734	MHOTX			.25	1.17000		SELL ONLY
MFS	MFS Global High Yield Fund Class R6	552984676	MHOVX				0.82000		SELL ONLY
MFS	MFS Global New Discovery Fund Class A	552987646	GLNAX	5.75		.25	1.97000		BUY,SELL
MFS	MFS Global New Discovery Fund Class B	552987638	GLNBX		4.00	1.00	2.72000		SELL ONLY
MFS	MFS Global New Discovery Fund Class C	552987620	GLNCX		1.00	1.00	2.72000		SELL ONLY
MFS	MFS Global New Discovery Fund Class I	552987612	GLNIX				1.72000		SELL ONLY
MFS	MFS Global New Discovery Fund Class R1	552987596	GLNJX			1.00	2.72000		SELL ONLY
MFS	MFS Global New Discovery Fund Class R2	552987588	GLNKX			.50	2.22000		SELL ONLY
MFS	MFS Global New Discovery Fund Class R3	552987570	GLNLX			.25	1.97000		SELL ONLY
MFS	MFS Global New Discovery Fund Class R6	552987547	GLNNX				1.63000		SELL ONLY
MFS	MFS Global Opportunistic Bond Fund Class A	552746638	MGBAX	4.25		.25	1.05000		BUY,SELL
MFS	MFS Global Opportunistic Bond Fund Class B	552746620	MGBBX		4.00	1.00	1.80000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
MFS	MFS Global Opportunistic Bond Fund Class A	552746612	MGBDX		1.00	1.00	1.80000		SELL ONLY	
MFS	MFS Global Opportunistic Bond Fund Class B	552746596	MGBJX				0.80000		SELL ONLY	
MFS	MFS Global Opportunistic Bond Fund Class C	552746588	MGBKX			1.00	1.80000		SELL ONLY	
MFS	MFS Global Opportunistic Bond Fund Class I	552746570	MGBLX			.50	1.30000		SELL ONLY	
MFS	MFS Global Opportunistic Bond Fund Class R1	552746562	MGBMX			.25	1.05000		SELL ONLY	
MFS	MFS Global Opportunistic Bond Fund Class R2	552743882	MGBOX				0.72000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class A	552982753	MGLAX	5.75		.25	1.23000		BUY,SELL	
MFS	MFS Global Real Estate Fund Class B	552982688	MGLDX		4.00	1.00	1.98000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class C	552982670	MGLCX		1.00	1.00	1.98000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class I	552982746	MGLIX				0.98000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class R1	552982662	MGLJX			1.00	1.98000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class R2	552982654	MGLKX			.50	1.48000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class R3	552982647	MGLLX			.25	1.23000		SELL ONLY	
MFS	MFS Global Real Estate Fund Class R6	552982720	MGLRX				0.90000		SELL ONLY	
MFS	MFS Global Total Return Fund Class A	552986101	MFWTX	5.75		.25	1.17000		BUY,SELL	
MFS	MFS Global Total Return Fund Class B	552986200	MFWBX		4.00	1.00	1.92000		SELL ONLY	
MFS	MFS Global Total Return Fund Class C	552986804	MFWCX		1.00	1.00	1.92000		SELL ONLY	
MFS	MFS Global Total Return Fund Class I	552986853	MFWIX				0.92000		SELL ONLY	
MFS	MFS Global Total Return Fund Class R1	552986739	MFWGX			1.00	1.92000		SELL ONLY	
MFS	MFS Global Total Return Fund Class R2	552986788	MGBRX			.50	1.42000		SELL ONLY	
MFS	MFS Global Total Return Fund Class R3	552986721	MFWHX			.25	1.17000		SELL ONLY	
MFS	MFS Global Total Return Fund Class R6	552986614	MFWLX				0.83000		SELL ONLY	
MFS	MFS Government Securities Fund Class A	552982100	MFGSX	4.25			0.80000		BUY,SELL	
MFS	MFS Government Securities Fund Class B	552982209	MFGBX		4.00		1.55000		SELL ONLY	
MFS	MFS Government Securities Fund Class C	552982308	MFGDX		1.00		1.55000		SELL ONLY	
MFS	MFS Government Securities Fund Class I	552982407	MGSIX				0.55000		SELL ONLY	
MFS	MFS Government Securities Fund Class R1	552982878	MFGGX				1.55000		SELL ONLY	
MFS	MFS Government Securities Fund Class R2	552982886	MGVSX				1.05000		SELL ONLY	
MFS	MFS Government Securities Fund Class R3	552982860	MFGHX				0.80000		SELL ONLY	
MFS	MFS Government Securities Fund Class R6	552982712	MFGKX				0.45000		SELL ONLY	
MFS	MFS Growth Allocation Fund Class 529A	55273G561	EAGWX	5.75		.25	1.04000		BUY,SELL	
MFS	MFS Growth Allocation Fund Class 529B	55273G553	EBGWX		4.00	1.00	1.79000		SELL ONLY	
MFS	MFS Growth Allocation Fund Class 529C	55273G546	ECGWX		1.00	1.00	1.79000		BUY,SELL	
MFS	MFS Growth Allocation Fund Class A	55273G736	MAGWX	5.75		.25	0.99000		BUY,SELL	
MFS	MFS Growth Allocation Fund Class B	55273G728	MBGWX		4.00	1.00	1.74000		SELL ONLY	
MFS	MFS Growth Allocation Fund Class C	55273G710	MCGWX		1.00	1.00	1.74000		SELL ONLY	
MFS	MFS Growth Allocation Fund Class I	55273G694	MGWIX				0.74000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
MFS	MFS Growth Allocation Fund Class R1	552746109	MAGMX				1.00	1.74000		SELL ONLY
MFS	MFS Growth Allocation Fund Class R2	55273G363	MGALX				.50	1.24000		SELL ONLY
MFS	MFS Growth Allocation Fund Class R3	552746208	MAGEX				.25	0.99000		SELL ONLY
MFS	MFS Growth Fund Class A	552985103	MFEGX	5.75			.25	0.87000		BUY,SELL
MFS	MFS Growth Fund Class B	552985202	MEGBX		4.00		1.00	1.62000		SELL ONLY
MFS	MFS Growth Fund Class C	552985889	MFECX		1.00		1.00	1.62000		SELL ONLY
MFS	MFS Growth Fund Class I	552985863	MFEIX					0.62000		SELL ONLY
MFS	MFS Growth Fund Class R1	552985731	MFELX				1.00	1.62000		SELL ONLY
MFS	MFS Growth Fund Class R2	552985749	MEGRX				.50	1.12000		SELL ONLY
MFS	MFS Growth Fund Class R3	552985723	MFEHX				.25	0.87000		SELL ONLY
MFS	MFS Growth Fund Class R6	552985673	MFEKX					0.53000		SELL ONLY
MFS	MFS High Income Fund Class 529A	552984858	EAHIX	4.25			.25	1.00000		BUY,SELL
MFS	MFS High Income Fund Class 529B	552984841	EMHBX		4.00		1.00	1.75000		SELL ONLY
MFS	MFS High Income Fund Class 529C	552984833	EMHCX		1.00		1.00	1.75000		BUY,SELL
MFS	MFS High Income Fund Class A	552984106	MHITX	4.25			.25	0.95000		BUY,SELL
MFS	MFS High Income Fund Class B	552984205	MHIBX		4.00		1.00	1.70000		SELL ONLY
MFS	MFS High Income Fund Class C	552984502	MHICX		1.00		1.00	1.70000		SELL ONLY
MFS	MFS High Income Fund Class I	552984601	MHIIX					0.70000		SELL ONLY
MFS	MFS High Income Fund Class R1	552984791	MHIGX				1.00	1.70000		SELL ONLY
MFS	MFS High Income Fund Class R2	552984817	MIHRX				.50	1.20000		SELL ONLY
MFS	MFS High Income Fund Class R3	552984783	MHIHX				.25	0.95000		SELL ONLY
MFS	MFS High Income Fund Class R6	552984684	MHIKX					0.59000		SELL ONLY
MFS	MFS Income Fund Class A	552989105	MFIOX	4.25			.25	0.99000		BUY,SELL
MFS	MFS Income Fund Class B	552989204	MIOBX		4.00		1.00	1.74000		SELL ONLY
MFS	MFS Income Fund Class C	552989600	MIOCX		1.00		1.00	1.74000		SELL ONLY
MFS	MFS Income Fund Class I	552989709	MFIIX					0.74000		SELL ONLY
MFS	MFS Income Fund Class R6	552989774	MFIWX					0.66000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class A	55272P414	MIAAX	4.25			.25	0.92000		BUY,SELL
MFS	MFS Inflation-Adjusted Bond Fund Class B	55272P349	MIABX		4.00		1.00	1.67000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class C	55272P331	MIACX		1.00		1.00	1.67000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class I	55272P398	MIAIX					0.67000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class F	55272P190	MIALX				1.00	1.67000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class F	55272P315	MIATX				.50	1.17000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class F	55272P182	MIAHX				.25	0.92000		SELL ONLY
MFS	MFS Inflation-Adjusted Bond Fund Class F	55274K884	MIAKX					0.59000		SELL ONLY
MFS	MFS Institutional International Equity Fund	552966806	MIEIX					0.70000		SELL ONLY
MFS	MFS International Diversification Fund Cla	55273G330	MDIDX	5.75			.25	1.12000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End	12b-1	Gross	Redemption	Buy/Sell Eligible
				Load	Fees	Expense Ratio	Fee	
MFS	MFS International Diversification Fund Cla	55273G322	MDIFX		4.00	1.00	1.87000	SELL ONLY
MFS	MFS International Diversification Fund Cla	55273G314	MDIGX			1.00	1.87000	SELL ONLY
MFS	MFS International Diversification Fund Cla	55273G298	MDIJX				0.87000	SELL ONLY
MFS	MFS International Diversification Fund Cla	55273G165	MDIOX			1.00	1.87000	SELL ONLY
MFS	MFS International Diversification Fund Cla	55273G272	MDIKX			.50	1.37000	SELL ONLY
MFS	MFS International Diversification Fund Cla	55273G157	MDIHX			.25	1.12000	SELL ONLY
MFS	MFS International Diversification Fund Cla	552743544	MDIZX				0.77000	SELL ONLY
MFS	MFS International Growth Fund Class A	55273E103	MGRAX	5.75		.25	1.08000	BUY,SELL
MFS	MFS International Growth Fund Class B	55273E202	MGRBX		4.00	1.00	1.83000	SELL ONLY
MFS	MFS International Growth Fund Class C	55273E863	MGRCX		1.00	1.00	1.83000	SELL ONLY
MFS	MFS International Growth Fund Class I	55273E848	MQGIX				0.83000	SELL ONLY
MFS	MFS International Growth Fund Class R1	552746729	MGRRX			1.00	1.83000	SELL ONLY
MFS	MFS International Growth Fund Class R2	552746711	MGRQX			.50	1.33000	SELL ONLY
MFS	MFS International Growth Fund Class R3	552746695	MGRTX			.25	1.08000	SELL ONLY
MFS	MFS International Growth Fund Class R6	552746356	MGRDX				0.74000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	55273E301	MGIAX	5.75		.25	0.98000	BUY,SELL
MFS	MFS International Intrinsic Value Fund Cla	55273E400	MGIBX		4.00	1.00	1.73000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	55273E871	MGICX		1.00	1.00	1.73000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	55273E822	MINIX				0.73000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	552746679	MINRX			1.00	1.73000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	552746661	MINFX			.50	1.23000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	552746653	MINGX			.25	0.98000	SELL ONLY
MFS	MFS International Intrinsic Value Fund Cla	552746349	MINJX				0.63000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743528	MKVBX	5.75	1.00	.25	1.07000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743510	MKVCX		1.00	1.00	1.82000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743494	MKVIX				0.82000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743486	MKVDX			1.00	1.82000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743478	MKVEX			.50	1.32000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743460	MKVFX			.25	1.07000	SELL ONLY
MFS	MFS International Large Cap Value Fund C	552743445	MKVHX				0.78000	SELL ONLY
MFS	MFS International New Discovery Fund Cla	552981649	EAIDX	5.75		.25	1.34000	BUY,SELL
MFS	MFS International New Discovery Fund Cla	552981631	EBIDX		4.00	1.00	2.09000	SELL ONLY
MFS	MFS International New Discovery Fund Cla	552981623	ECIDX		1.00	1.00	2.09000	BUY,SELL
MFS	MFS International New Discovery Fund Cla	552981888	MIDAX	5.75		.25	1.29000	BUY,SELL
MFS	MFS International New Discovery Fund Cla	552981870	MIDBX		4.00	1.00	2.04000	SELL ONLY
MFS	MFS International New Discovery Fund Cla	552981862	MIDCX		1.00	1.00	2.04000	SELL ONLY
MFS	MFS International New Discovery Fund Cla	552981854	MWNIX				1.04000	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	Gross Expense		Redemption Fee	Buy/Sell Eligible
						12b-1 Fees	Ratio		
MFS	MFS International New Discovery Fund Class A	552981516	MIDGX			1.00	2.04000		SELL ONLY
MFS	MFS International New Discovery Fund Class B	552981565	MIDRX			.50	1.54000		SELL ONLY
MFS	MFS International New Discovery Fund Class C	552981490	MIDHX			.25	1.29000		SELL ONLY
MFS	MFS International New Discovery Fund Class I	552981383	MIDLX				0.92000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class A	55275E770	MFLAX	5.75		.25	1.02000		BUY,SELL
MFS	MFS Lifetime 2020 Fund Class B	55275E762	MFLBX		4.00	1.00	1.77000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class C	55275E754	MFLCX		1.00	1.00	1.77000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class I	55275E747	MFLIX				0.77000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class R1	55275E739	MFLEX			1.00	1.77000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class R2	55275E713	MFLGX			.50	1.27000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class R3	55275E697	MFLHX			.25	1.02000		SELL ONLY
MFS	MFS Lifetime 2020 Fund Class R6	55275E267	MFLKX				0.64000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class A	55279J882	LTTAX	5.75		.25	0.96000		BUY,SELL
MFS	MFS Lifetime 2025 Fund Class B	55279J874	LTTBX		4.00	1.00	1.71000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class C	55279J866	LTTCX		1.00	1.00	1.71000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class I	55279J858	LTTIX				0.71000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class R1	55279J841	LTTTRX			1.00	1.71000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class R2	55279J833	LTTTSX			.50	1.21000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class R3	55279J825	LTTTX			.25	0.96000		SELL ONLY
MFS	MFS Lifetime 2025 Fund Class R6	55275E259	LTTKX				0.57000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class A	55275E671	MLTAX	5.75		.25	0.97000		BUY,SELL
MFS	MFS Lifetime 2030 Fund Class B	55275E663	MLTBX		4.00	1.00	1.72000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class C	55275E655	MLTCX		1.00	1.00	1.72000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class I	55275E648	MLTIX				0.72000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class R1	55275E630	MLTEX			1.00	1.72000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class R2	55275E614	MLTGX			.50	1.22000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class R3	55275E598	MLTHX			.25	0.97000		SELL ONLY
MFS	MFS Lifetime 2030 Fund Class R6	55275E242	MLTKX				0.59000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class A	55279J791	LFEAX	5.75		.25	1.04000		BUY,SELL
MFS	MFS Lifetime 2035 Fund Class B	55279J783	LFEBX		4.00	1.00	1.79000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class C	55279J775	LFECX		1.00	1.00	1.79000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class I	55279J767	LFEDX				0.79000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class R1	55279J759	LFERX			1.00	1.79000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class R2	55279J742	LFESX			.50	1.29000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class R3	55279J734	LFETX			.25	1.04000		SELL ONLY
MFS	MFS Lifetime 2035 Fund Class R6	55275E234	LFEKX				0.65000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class A	55275E572	MLFAX	5.75		.25	1.04000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
MFS	MFS Lifetime 2040 Fund Class B	55275E564	MLFBX		4.00	1.00	1.79000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class C	55275E556	MLFCX			1.00	1.79000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class I	55275E549	MLFIX				0.79000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class R1	55275E531	MLFEX			1.00	1.79000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class R2	55275E515	MLFGX			.50	1.29000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class R3	55275E499	MLFHX			.25	1.04000		SELL ONLY
MFS	MFS Lifetime 2040 Fund Class R6	55275E226	MLFKX				0.65000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class A	55279J718	LTMAX	5.75		.25	1.09000		BUY,SELL
MFS	MFS Lifetime 2045 Fund Class B	55279J692	LTMBX		4.00	1.00	1.84000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class C	55279J684	LTMDX		1.00	1.00	1.84000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class I	55279J676	LTMKX				0.84000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class R1	55279J668	LTMRX			1.00	1.84000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class R2	55279J650	LTMSX			.50	1.34000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class R3	55279J643	LTMTX			.25	1.09000		SELL ONLY
MFS	MFS Lifetime 2045 Fund Class R6	55275E218	LTMLX				0.70000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class A	55275E382	MFFSX	5.75		.25	1.09000		BUY,SELL
MFS	MFS Lifetime 2050 Fund Class B	55275E374	MFFRX		4.00	1.00	1.84000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class C	55275E366	MFFDX		1.00	1.00	1.84000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class I	55275E358	MFFIX				0.84000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class R1	55275E341	MFFMX			1.00	1.84000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class R2	55275E333	MFFNX			.50	1.34000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class R3	55275E325	MFFOX			.25	1.09000		SELL ONLY
MFS	MFS Lifetime 2050 Fund Class R6	55275E184	MFFKX				0.70000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class A	55279J627	LFIAX	5.75		.25	1.19000		BUY,SELL
MFS	MFS Lifetime 2055 Fund Class B	55279J619	LFIBX		4.00	1.00	1.94000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class C	55279J593	LFICX		1.00	1.00	1.94000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class I	55279J585	LFIIX				0.94000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class R1	55279J577	LFIRX			1.00	1.94000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class R2	55279J569	LFISX			.50	1.44000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class R3	55279J551	LFITX			.25	1.19000		SELL ONLY
MFS	MFS Lifetime 2055 Fund Class R6	55275E176	LFIKX				0.79000		SELL ONLY
MFS	MFS Lifetime 2060 Fund Class A	55279J536	MFJAX	5.75		.25	1.65000		BUY,SELL
MFS	MFS Lifetime 2060 Fund Class B	55279J528	MFJBX		4.00	1.00	2.40000		SELL ONLY
MFS	MFS Lifetime 2060 Fund Class C	55279J510	MFJCX		1.00	1.00	2.40000		SELL ONLY
MFS	MFS Lifetime 2060 Fund Class I	55279J494	MFJIX				1.40000		SELL ONLY
MFS	MFS Lifetime 2060 Fund Class R1	55279J486	MFJEX			1.00	2.40000		SELL ONLY
MFS	MFS Lifetime 2060 Fund Class R2	55279J478	MFJGX			.50	1.90000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
MFS	MFS Lifetime 2060 Fund Class R3	55279J460	MFJTX			.25	1.65000		SELL ONLY
MFS	MFS Lifetime 2060 Fund Class R6	55279J445	MFJKX				1.27000		SELL ONLY
MFS	MFS Lifetime 2065 Class A	55279J437	LFTFX	5.75		.25	4.67000		SELL ONLY
MFS	MFS Lifetime 2065 Class C	55279J429	LFTGX		1.00	1.00	5.42000		SELL ONLY
MFS	MFS Lifetime 2065 Class I	55279J411	LFTHX				4.42000		SELL ONLY
MFS	MFS Lifetime 2065 Class R1	55279J395	LFTJX			1.00	5.42000		SELL ONLY
MFS	MFS Lifetime 2065 Class R2	55279J387	LFTKX			.50	4.92000		SELL ONLY
MFS	MFS Lifetime 2065 Class R3	55279J379	LFTLX			.25	4.67000		SELL ONLY
MFS	MFS Lifetime 2065 Class R6	55279J353	LFTNX				4.28000		SELL ONLY
MFS	MFS Lifetime Income Fund Class 529A	55274K876	MLLQX	4.25		.25	0.95000		BUY,SELL
MFS	MFS Lifetime Income Fund Class 529B	55274K868	MLLRX		4.00	1.00	1.70000		SELL ONLY
MFS	MFS Lifetime Income Fund Class 529C	55274K850	MLLSX		1.00	1.00	1.70000		BUY,SELL
MFS	MFS Lifetime Income Fund Class A	55275E101	MLLAX	4.25		.25	0.90000		BUY,SELL
MFS	MFS Lifetime Income Fund Class B	55275E200	MLLBX		4.00	1.00	1.65000		SELL ONLY
MFS	MFS Lifetime Income Fund Class C	55275E309	MLLCX		1.00	1.00	1.65000		SELL ONLY
MFS	MFS Lifetime Income Fund Class I	55275E408	MLLIX				0.65000		SELL ONLY
MFS	MFS Lifetime Income Fund Class R1	55275E507	MLLEX			1.00	1.65000		SELL ONLY
MFS	MFS Lifetime Income Fund Class R2	55275E705	MLLGX			.50	1.15000		SELL ONLY
MFS	MFS Lifetime Income Fund Class R3	55275E804	MLLHX			.25	0.90000		SELL ONLY
MFS	MFS Lifetime Income Fund Class R6	55275E275	MLLKX				0.57000		SELL ONLY
MFS	MFS Limited Maturity Fund Class 529A	55272P521	EALMX	2.50		.25	0.85000		BUY,SELL
MFS	MFS Limited Maturity Fund Class 529B	55272P513	EBLMX		4.00	1.00	1.60000		SELL ONLY
MFS	MFS Limited Maturity Fund Class 529C	55272P497	ELDCX		1.00	1.00	1.60000		BUY,SELL
MFS	MFS Limited Maturity Fund Class A	55272P109	MQLFX	2.50		.25	0.80000		BUY,SELL
MFS	MFS Limited Maturity Fund Class B	55272P406	MQLBX		4.00	1.00	1.55000		SELL ONLY
MFS	MFS Limited Maturity Fund Class C	55272P802	MQLCX		1.00	1.00	1.55000		SELL ONLY
MFS	MFS Limited Maturity Fund Class I	55272P869	MQLIX				0.55000		SELL ONLY
MFS	MFS Limited Maturity Fund Class R1	55272P299	MQLGX			1.00	1.55000		SELL ONLY
MFS	MFS Limited Maturity Fund Class R2	55272P380	MLMRX			.50	1.05000		SELL ONLY
MFS	MFS Limited Maturity Fund Class R3	55272P281	MQLHX			.25	0.80000		SELL ONLY
MFS	MFS Limited Maturity Fund Class R6	55274K801	MQLKX				0.48000		SELL ONLY
MFS	MFS Low Volatility Equity Fund Class A	55273H312	MLVAX	5.75		.25	0.92000		BUY,SELL
MFS	MFS Low Volatility Equity Fund Class B	55273H296	MLVBX		4.00	1.00	1.67000		SELL ONLY
MFS	MFS Low Volatility Equity Fund Class C	55273H288	MLVGX		1.00	1.00	1.67000		SELL ONLY
MFS	MFS Low Volatility Equity Fund Class I	55273H270	MLVHX				0.67000		SELL ONLY
MFS	MFS Low Volatility Equity Fund Class R1	55273H262	MLVMX			1.00	1.67000		SELL ONLY
MFS	MFS Low Volatility Equity Fund Class R2	55273H254	MLVOX			.50	1.17000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
MFS	MFS Low Volatility Equity Fund Class R3	55273H247	MLVPX			.25	0.92000		SELL ONLY
MFS	MFS Low Volatility Equity Fund Class R6	55273H221	MLVTX				0.59000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H213	MVGAX	5.75		.25	1.05000		BUY,SELL
MFS	MFS Low Volatility Global Equity Fund Cla	55273H197	MVGBX		4.00	1.00	1.80000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H189	MVGCX		1.00	1.00	1.80000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H171	MVGIX				0.80000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H163	MVGJX			1.00	1.80000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H155	MVGKX			.50	1.30000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H148	MVGLX			.25	1.05000		SELL ONLY
MFS	MFS Low Volatility Global Equity Fund Cla	55273H122	MVGNX				0.73000		SELL ONLY
MFS	MFS Managed Wealth Fund Class A	552746315	MNWAX	5.75		.25	1.70000		SELL ONLY
MFS	MFS Managed Wealth Fund Class B	552746299	MNWBX		4.00	1.00	2.45000		SELL ONLY
MFS	MFS Managed Wealth Fund Class C	552746281	MNWCX		1.00	1.00	2.45000		SELL ONLY
MFS	MFS Managed Wealth Fund Class I	552746273	MNWIX				1.45000		SELL ONLY
MFS	MFS Managed Wealth Fund Class R1	552746265	MNWRX			1.00	2.45000		SELL ONLY
MFS	MFS Managed Wealth Fund Class R2	552746257	MNWSX			.50	1.95000		SELL ONLY
MFS	MFS Managed Wealth Fund Class R3	552746240	MNWTX			.25	1.70000		SELL ONLY
MFS	MFS Managed Wealth Fund Class R6	552743536	MNWZX				1.40000		SELL ONLY
MFS	MFS Maryland Municipal Bond Fund Class	55273N723	MBMDX		4.00	1.00	1.73000		SELL ONLY
MFS	MFS Maryland Municipal Bond Fund Class	55273N376	MMDIX				0.73000		SELL ONLY
MFS	MFS Maryland Municipal Bond Fund Class	55273N228	MPMDX				0.67000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719604	EISTX	5.75		.25	0.76000		BUY,SELL
MFS	MFS Massachusetts Investors Growth Sto	575719703	EMIVX		4.00	1.00	1.51000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719802	EMICX		1.00	1.00	1.51000		BUY,SELL
MFS	MFS Massachusetts Investors Growth Sto	575719109	MIGFX	5.75		.25	0.71000		BUY,SELL
MFS	MFS Massachusetts Investors Growth Sto	575719208	MIGBX		4.00	1.00	1.46000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719307	MIGDX		1.00	1.00	1.46000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719406	MGTIX				0.46000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719869	MIGMX			1.00	1.46000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719877	MIRGX			.50	0.96000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719851	MIGHX			.25	0.71000		SELL ONLY
MFS	MFS Massachusetts Investors Growth Sto	575719828	MIGNX				0.37000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736608	EAMTX	5.75		.25	0.76000		BUY,SELL
MFS	MFS Massachusetts Investors Trust Class	575736707	EBMTX		4.00	1.00	1.51000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736806	ECITX		1.00	1.00	1.51000		BUY,SELL
MFS	MFS Massachusetts Investors Trust Class	575736103	MITTX	5.75		.25	0.71000		BUY,SELL
MFS	MFS Massachusetts Investors Trust Class	575736202	MITBX		4.00	1.00	1.46000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
MFS	MFS Massachusetts Investors Trust Class	575736301	MITCX		1.00	1.00	1.46000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736400	MITIX				0.46000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736855	MITGX			1.00	1.46000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736863	MIRTX			.50	0.96000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736848	MITHX			.25	0.71000		SELL ONLY
MFS	MFS Massachusetts Investors Trust Class	575736814	MITJX				0.38000		SELL ONLY
MFS	MFS Massachusetts Municipal Bond Fund	55273N731	MBMAX		4.00	1.00	1.61000		SELL ONLY
MFS	MFS Massachusetts Municipal Bond Fund	55273N368	MTALX				0.61000		SELL ONLY
MFS	MFS Massachusetts Municipal Bond Fund	55273N210	MPMAX				0.54000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class 529A	552987869	EAMCX	5.75		.25	1.10000		BUY,SELL
MFS	MFS Mid Cap Growth Fund Class 529B	552987851	EBCGX		4.00	1.00	1.85000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class 529C	552987844	ECGRX		1.00	1.00	1.85000		BUY,SELL
MFS	MFS Mid Cap Growth Fund Class A	552987703	OTCAX	5.75		.25	1.05000		BUY,SELL
MFS	MFS Mid Cap Growth Fund Class B	552987802	OTCBX		4.00	1.00	1.80000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class C	552987885	OTCCX		1.00	1.00	1.80000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class I	552987877	OTCIX				0.80000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class R1	552987810	OTCGX			1.00	1.80000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class R2	552987828	MCPRX			.50	1.30000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class R3	552987794	OTCHX			.25	1.05000		SELL ONLY
MFS	MFS Mid Cap Growth Fund Class R6	552987554	OTCKX				0.70000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class 529A	55273W640	EACVX	5.75		.25	1.12000		BUY,SELL
MFS	MFS Mid Cap Value Fund Class 529B	55273W632	EBCVX		4.00	1.00	1.87000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class 529C	55273W624	ECCVX		1.00	1.00	1.87000		BUY,SELL
MFS	MFS Mid Cap Value Fund Class A	55272P638	MVCAX	5.75		.25	1.07000		BUY,SELL
MFS	MFS Mid Cap Value Fund Class B	55272P620	MCBVX		4.00	1.00	1.82000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class C	55272P612	MVCCX		1.00	1.00	1.82000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class I	55272P596	MCVIX				0.82000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class R1	55273W582	MVCGX			1.00	1.82000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class R2	55273W590	MCVRX			.50	1.32000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class R3	55273W574	MVCHX			.25	1.07000		SELL ONLY
MFS	MFS Mid Cap Value Fund Class R6	55273W475	MVCKX				0.68000		SELL ONLY
MFS	MFS Mississippi Municipal Bond Fund Cla	55273N715	MBMSX		4.00	1.00	1.72000		SELL ONLY
MFS	MFS Mississippi Municipal Bond Fund Cla	55273N350	MMSTX				0.72000		SELL ONLY
MFS	MFS Mississippi Municipal Bond Fund Cla	55273N194	MPMSX				0.66000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class 529A	55273G595	EAMDX	5.75		.25	0.99000		BUY,SELL
MFS	MFS Moderate Allocation Fund Class 529B	55273G587	EBMDX		4.00	1.00	1.74000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class 529C	55273G579	ECMAX		1.00	1.00	1.74000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End	12b-1	Gross	Redemption	Buy/Sell Eligible	
				Load	Fees	Expense Ratio	Fee		
MFS	MFS Moderate Allocation Fund Class A	55273G777	MAMAX	5.75		.25	0.94000		BUY,SELL
MFS	MFS Moderate Allocation Fund Class B	55273G769	MMABX		4.00	1.00	1.69000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class C	55273G751	MMACX		1.00	1.00	1.69000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class I	55273G744	MMAIX				0.69000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class R1	552746703	MAMFX			1.00	1.69000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class R2	55273G348	MARRX			.50	1.19000		SELL ONLY
MFS	MFS Moderate Allocation Fund Class R3	552746802	MAMHX			.25	0.94000		SELL ONLY
MFS	MFS Municipal High Income Fund Class B	552984403	MMHBX		4.00	1.00	1.65000		SELL ONLY
MFS	MFS Municipal High Income Fund Class C	552984866	MMHCX		1.00	1.00	1.65000		SELL ONLY
MFS	MFS Municipal High Income Fund Class I	552984692	MMIIX				0.65000		SELL ONLY
MFS	MFS Municipal High Income Fund Class R	552984650	MMHKX				0.57000		SELL ONLY
MFS	MFS Municipal Income Fund Class A1	55273N459	MMIDX	4.25			0.49000		SELL ONLY
MFS	MFS Municipal Income Fund Class B	55273N566	MMIBX		4.00	1.00	1.49000		SELL ONLY
MFS	MFS Municipal Income Fund Class B1	55273N442	MMIGX		4.00		1.49000		SELL ONLY
MFS	MFS Municipal Income Fund Class C	55273N525	MMICX		1.00	1.00	1.49000		SELL ONLY
MFS	MFS Municipal Income Fund Class I	55273N434	MIMIX				0.49000		SELL ONLY
MFS	MFS Municipal Income Fund Class R6	55273N186	MPMNX				0.42000		SELL ONLY
MFS	MFS Municipal Intermediate Fund Class A	55283C105	MIUAX	4.25		.25	1.43000		SELL ONLY
MFS	MFS Municipal Intermediate Fund Class C	55283C204	MIUCX		1.00	1.00	2.18000		SELL ONLY
MFS	MFS Municipal Intermediate Fund Class I	55283C303	MIUIX				1.18000		SELL ONLY
MFS	MFS Municipal Intermediate Fund Class R	55283C402	MIURX				1.11000		SELL ONLY
MFS	MFS Municipal Limited Maturity Fund Clas	55272P604	MTLBX		4.00	1.00	1.46000		SELL ONLY
MFS	MFS Municipal Limited Maturity Fund Clas	55272P885	MTLCX		1.00	1.00	1.46000		SELL ONLY
MFS	MFS Municipal Limited Maturity Fund Clas	55274K504	MTLIX				0.46000		SELL ONLY
MFS	MFS Municipal Limited Maturity Fund Clas	55274K744	MTLRX				0.39000		SELL ONLY
MFS	MFS New Discovery Fund Class A	552983553	MNDAX	5.75		.25	1.28000		BUY,SELL
MFS	MFS New Discovery Fund Class B	552983546	MNDBX		4.00	1.00	2.03000		SELL ONLY
MFS	MFS New Discovery Fund Class C	552983538	MNDCX		1.00	1.00	2.03000		SELL ONLY
MFS	MFS New Discovery Fund Class I	552983520	MNDIX				1.03000		SELL ONLY
MFS	MFS New Discovery Fund Class R1	55273H759	MNDGX			1.00	2.06000		SELL ONLY
MFS	MFS New Discovery Fund Class R2	552983173	MNDRX			.50	1.56000		SELL ONLY
MFS	MFS New Discovery Fund Class R3	55273H742	MNDHX			.25	1.28000		SELL ONLY
MFS	MFS New Discovery Fund Class R6	55273H346	MNDKX				0.93000		SELL ONLY
MFS	MFS New Discovery Value Fund Class A	55278M100	NDVAX	5.75			1.23000		BUY,SELL
MFS	MFS New Discovery Value Fund Class B	55278M209	NDVBX		4.00		1.98000		SELL ONLY
MFS	MFS New Discovery Value Fund Class C	55278M308	NDVCX		1.00		1.98000		SELL ONLY
MFS	MFS New Discovery Value Fund Class I	55278M407	NDVIX				0.98000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
MFS	MFS New Discovery Value Fund Class R1	55278M506	NDVVRX					1.98000		SELL ONLY
MFS	MFS New Discovery Value Fund Class R2	55278M605	NDVVSX					1.48000		SELL ONLY
MFS	MFS New Discovery Value Fund Class R3	55278M704	NDVVTX					1.23000		SELL ONLY
MFS	MFS New Discovery Value Fund Class R6	552982696	NDVVVX					0.87000		SELL ONLY
MFS	MFS New York Municipal Bond Fund Class	55273N681	MBNYX		4.00	1.00		1.63000		SELL ONLY
MFS	MFS New York Municipal Bond Fund Class	55273N467	MCNYX		1.00	1.00		1.63000		SELL ONLY
MFS	MFS New York Municipal Bond Fund Class	55273N343	MNYLX					0.63000		SELL ONLY
MFS	MFS New York Municipal Bond Fund Class	55273N178	MPNYX					0.56000		SELL ONLY
MFS	MFS North Carolina Municipal Bond Fund	55273N699	MBNCX		4.00	1.00		1.59000		SELL ONLY
MFS	MFS North Carolina Municipal Bond Fund	55273N541	MCNCX		1.00	1.00		1.59000		SELL ONLY
MFS	MFS North Carolina Municipal Bond Fund	55273N335	MNCLX					0.59000		SELL ONLY
MFS	MFS North Carolina Municipal Bond Fund	55273N160	MPNCX					0.52000		SELL ONLY
MFS	MFS Pennsylvania Municipal Bond Fund C	55273N673	MBPAX		4.00	1.00		1.67000		SELL ONLY
MFS	MFS Pennsylvania Municipal Bond Fund C	55273N327	MPALX					0.67000		SELL ONLY
MFS	MFS Pennsylvania Municipal Bond Fund C	55273N152	MPPAX					0.60000		SELL ONLY
MFS	MFS Prudent Investor Fund Class A	55278K872	FPPAX	5.75		.25		2.35000		SELL ONLY
MFS	MFS Prudent Investor Fund Class B	55278K864	FPPDX		4.00	1.00		3.10000		SELL ONLY
MFS	MFS Prudent Investor Fund Class C	55278K856	FPPEX		1.00	1.00		3.10000		SELL ONLY
MFS	MFS Prudent Investor Fund Class I	55278K849	FPPJX					2.10000		SELL ONLY
MFS	MFS Prudent Investor Fund Class R1	55278K831	FPPRX			1.00		3.10000		SELL ONLY
MFS	MFS Prudent Investor Fund Class R2	55278K823	FPPSX			.50		2.60000		SELL ONLY
MFS	MFS Prudent Investor Fund Class R3	55278K815	FPPQX			.25		2.35000		SELL ONLY
MFS	MFS Prudent Investor Fund Class R6	55278K781	FPPVX					2.48000		SELL ONLY
MFS	MFS Research Fund Class A	552981102	MFRFX	5.75		.25		0.79000		BUY,SELL
MFS	MFS Research Fund Class B	552981201	MFRBX		4.00	1.00		1.54000		SELL ONLY
MFS	MFS Research Fund Class C	552981508	MFRCX		1.00	1.00		1.54000		SELL ONLY
MFS	MFS Research Fund Class I	552981706	MRFIX					0.54000		SELL ONLY
MFS	MFS Research Fund Class R1	552981540	MFRLX			1.00		1.54000		SELL ONLY
MFS	MFS Research Fund Class R2	552981573	MSRRX			.50		1.04000		SELL ONLY
MFS	MFS Research Fund Class R3	552981532	MFRHX			.25		0.79000		SELL ONLY
MFS	MFS Research Fund Class R6	552981391	MFRKX					0.47000		SELL ONLY
MFS	MFS Research International Fund Class 5	55273H106	EARSX	5.75		.25		1.12000		BUY,SELL
MFS	MFS Research International Fund Class 5	55273H205	EBRIX		4.00	1.00		1.87000		SELL ONLY
MFS	MFS Research International Fund Class 5	55273H304	ECRIX		1.00	1.00		1.87000		BUY,SELL
MFS	MFS Research International Fund Class A	552983512	MRSAX	5.75		.25		1.07000		BUY,SELL
MFS	MFS Research International Fund Class B	552983496	MRIBX		4.00	1.00		1.82000		SELL ONLY
MFS	MFS Research International Fund Class C	552983488	MRICX		1.00	1.00		1.82000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
MFS	MFS Research International Fund Class I	552983470	MRSIX				0.82000		SELL ONLY
MFS	MFS Research International Fund Class R	55273H551	MRSIX			1.00	1.82000		SELL ONLY
MFS	MFS Research International Fund Class R	552983124	MRSRX			.50	1.32000		SELL ONLY
MFS	MFS Research International Fund Class R	55273H544	MRSIX			.25	1.07000		SELL ONLY
MFS	MFS Research International Fund Class R	55273H361	MRSIX				0.71000		SELL ONLY
MFS	MFS South Carolina Municipal Bond Fund	55273N665	MBSCX		4.00	1.00	1.61000		SELL ONLY
MFS	MFS South Carolina Municipal Bond Fund	55273N319	MTSCX				0.61000		SELL ONLY
MFS	MFS South Carolina Municipal Bond Fund	55273N145	MPOCX				0.55000		SELL ONLY
MFS	MFS Technology Fund Class A	552983462	MTCAX	5.75		.25	1.17000		BUY,SELL
MFS	MFS Technology Fund Class B	552983454	MTCBX		4.00	1.00	1.92000		SELL ONLY
MFS	MFS Technology Fund Class C	552983447	MTCX		1.00	1.00	1.92000		SELL ONLY
MFS	MFS Technology Fund Class I	552983439	MTCIX				0.92000		SELL ONLY
MFS	MFS Technology Fund Class R1	55273H585	MTCKX			1.00	1.94000		SELL ONLY
MFS	MFS Technology Fund Class R2	552983132	MTERX			.50	1.44000		SELL ONLY
MFS	MFS Technology Fund Class R3	55273H577	MTCHX			.25	1.17000		SELL ONLY
MFS	MFS Technology Fund Class R6	55273H338	MTCLX				0.83000		SELL ONLY
MFS	MFS Tennessee Municipal Bond Fund Cla	55273N293	MTNLX				0.73000		SELL ONLY
MFS	MFS Tennessee Municipal Bond Fund Cla	55273N137	MPONX				0.66000		SELL ONLY
MFS	MFS Total Return Bond Fund Class 529A	55272P554	EARBX	4.25		.25	0.81000		BUY,SELL
MFS	MFS Total Return Bond Fund Class 529B	55272P547	EBRBX		4.00	1.00	1.56000		SELL ONLY
MFS	MFS Total Return Bond Fund Class 529C	55272P539	ECRBX		1.00	1.00	1.56000		BUY,SELL
MFS	MFS Total Return Bond Fund Class A	55272P810	MRBFX	4.25		.25	0.76000		BUY,SELL
MFS	MFS Total Return Bond Fund Class B	55272P794	MRBBX		4.00	1.00	1.51000		SELL ONLY
MFS	MFS Total Return Bond Fund Class C	55272P786	MRBCX		1.00	1.00	1.51000		SELL ONLY
MFS	MFS Total Return Bond Fund Class I	55272P778	MRBIX				0.51000		SELL ONLY
MFS	MFS Total Return Bond Fund Class R1	55272P265	MRBGX			1.00	1.51000		SELL ONLY
MFS	MFS Total Return Bond Fund Class R2	55272P372	MRRRX			.50	1.01000		SELL ONLY
MFS	MFS Total Return Bond Fund Class R3	55272P257	MRBHX			.25	0.76000		SELL ONLY
MFS	MFS Total Return Bond Fund Class R6	55274K603	MRBKX				0.42000		SELL ONLY
MFS	MFS Total Return Fund Class 529A	552981714	EATRX	5.75		.25	0.78000		BUY,SELL
MFS	MFS Total Return Fund Class 529B	552981698	EBTRX		4.00	1.00	1.53000		SELL ONLY
MFS	MFS Total Return Fund Class 529C	552981680	ECTRX		1.00	1.00	1.53000		BUY,SELL
MFS	MFS Total Return Fund Class A	552981300	MSFRX	5.75		.25	0.73000		BUY,SELL
MFS	MFS Total Return Fund Class B	552981409	MTRBX		4.00	1.00	1.48000		SELL ONLY
MFS	MFS Total Return Fund Class C	552981607	MTRCX		1.00	1.00	1.48000		SELL ONLY
MFS	MFS Total Return Fund Class I	552981805	MTRIX				0.48000		SELL ONLY
MFS	MFS Total Return Fund Class R1	552981474	MSFFX			1.00	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		
MFS	MFS Total Return Fund Class R2	552981557	MTRRX			.50	0.98000		SELL ONLY
MFS	MFS Total Return Fund Class R3	552981466	MSFHX			.25	0.73000		SELL ONLY
MFS	MFS Total Return Fund Class R6	552981375	MSFKX				0.40000		SELL ONLY
MFS	MFS Utilities Fund Class A	552986309	MMUFX	5.75		.25	1.01000		BUY,SELL
MFS	MFS Utilities Fund Class B	552986408	MMUBX		4.00	1.00	1.76000		SELL ONLY
MFS	MFS Utilities Fund Class C	552986705	MMUCX		1.00	1.00	1.76000		SELL ONLY
MFS	MFS Utilities Fund Class I	552986879	MMUIX				0.76000		SELL ONLY
MFS	MFS Utilities Fund Class R1	552986697	MMUGX			1.00	1.76000		SELL ONLY
MFS	MFS Utilities Fund Class R2	552986770	MURRX			.50	1.26000		SELL ONLY
MFS	MFS Utilities Fund Class R3	552986689	MMUHX			.25	1.01000		SELL ONLY
MFS	MFS Utilities Fund Class R6	552986598	MMUKX				0.67000		SELL ONLY
MFS	MFS Value Fund Class 529A	55273H700	EAVLX	5.75		.25	0.88000		BUY,SELL
MFS	MFS Value Fund Class 529B	55273H809	EBVLX		4.00	1.00	1.63000		SELL ONLY
MFS	MFS Value Fund Class 529C	55273H882	ECVLX		1.00	1.00	1.63000		BUY,SELL
MFS	MFS Value Fund Class A	552983801	MEIAX	5.75		.25	0.83000		BUY,SELL
MFS	MFS Value Fund Class B	552983843	MFEBX		4.00	1.00	1.58000		SELL ONLY
MFS	MFS Value Fund Class C	552983835	MEICX		1.00	1.00	1.58000		SELL ONLY
MFS	MFS Value Fund Class I	552983694	MEIIX				0.58000		SELL ONLY
MFS	MFS Value Fund Class R1	55273H650	MEIGX			1.00	1.58000		SELL ONLY
MFS	MFS Value Fund Class R2	552983116	MVRRX			.50	1.08000		SELL ONLY
MFS	MFS Value Fund Class R3	55273H643	MEIHX			.25	0.83000		SELL ONLY
MFS	MFS Value Fund Class R6	55273H353	MEIKX				0.47000		SELL ONLY
MFS	MFS Virginia Municipal Bond Fund Class E	55273N632	MBVAX		4.00	1.00	1.63000		SELL ONLY
MFS	MFS Virginia Municipal Bond Fund Class C	55273N533	MVACX		1.00	1.00	1.63000		SELL ONLY
MFS	MFS Virginia Municipal Bond Fund Class I	55273N285	MIVAX				0.63000		SELL ONLY
MFS	MFS Virginia Municipal Bond Fund Class F	55273N129	MPVOX				0.55000		SELL ONLY
MFS	MFS West Virginia Municipal Bond Fund C	55273N616	MBWVX		4.00	1.00	1.72000		SELL ONLY
MFS	MFS West Virginia Municipal Bond Fund C	55273N277	MWVIX				0.72000		SELL ONLY
MFS	MFS West Virginia Municipal Bond Fund C	55273N111	MPWVX				0.64000		SELL ONLY
Midas	Midas Fund	59562C109	MIDSX			.25	3.77000	1.00	SELL ONLY
Midas	Midas Magic	59563P109	MISEX			.25	3.38000	1.00	SELL ONLY
Miller Value Funds	Miller Income Fund Class A	89832P432	LMCJX	5.75		.25	1.31000		SELL ONLY
Miller Value Funds	Miller Income Fund Class C	89832P424	LCMNX		1.00	1.00	2.05000		SELL ONLY
Miller Value Funds	Miller Income Fund Class FI	89832P416	LMCKX			.25	1.26000		SELL ONLY
Miller Value Funds	Miller Income Fund Class I	89832P390	LMCLX				1.05000		SELL ONLY
Miller Value Funds	Miller Income Fund Class IS	89832P382	LMCMX				0.99000		SELL ONLY
Miller Value Funds	Miller Opportunity Trust Class A	89832P374	LGOAX	5.75		.25	1.28000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Miller Value Funds	Miller Opportunity Trust Class C	89832P366	LMOPX		1.00	1.00	2.03000		SELL ONLY
Miller Value Funds	Miller Opportunity Trust Class FI	89832P358	LMOFX			.25	1.35000		SELL ONLY
Miller Value Funds	Miller Opportunity Trust Class I	89832P333	LMNOX				1.04000		SELL ONLY
Miller Value Funds	Miller Opportunity Trust Class IS	89832P325	MVISX				0.97000		SELL ONLY
Miller Value Funds	Miller Opportunity Trust Class R	89832P341	LMORX			.50	1.53000		SELL ONLY
Mondrian	Mondrian Emerging Markets Value Equity	36381Y207	MPEMX				1.41000		SELL ONLY
Mondrian	Mondrian Global Listed Infrastructure Fund	36381Y603	MGIFX				7.11000		SELL ONLY
Mondrian	Mondrian International Government Fixed	36381Y306	MPIFX				1.05000		SELL ONLY
Mondrian	Mondrian International Value Equity Fund	36381Y108	MPIEX				0.89000		SELL ONLY
Mondrian	Mondrian U.S. Small Cap Equity Fund	36381Y504	MPUSX				7.14000		SELL ONLY
Morgan Stanley	AIP Dynamic Alternative Strategies Fund C	00143P102	DASAX	5.50		0.25	2.5800		SELL ONLY
Morgan Stanley	AIP Dynamic Alternative Strategies Fund C	00143P201	DACSX		1.00	1	3.2400		SELL ONLY
Morgan Stanley	AIP Dynamic Alternative Strategies Fund C	00143P300	DASIX				2.0700		SELL ONLY
Morgan Stanley	AIP Dynamic Alternative Strategies Fund C	00143P409	DAISX				2.2200		SELL ONLY
Morgan Stanley	Morgan Stanley Asian Equity Portfolio Clas	61760X539	MSAPX		1.00	1	28.8900	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Counterpoint Global Portf	61766J427	GLCAX	5.25		.25	4.66000		SELL ONLY
Morgan Stanley	Morgan Stanley Counterpoint Global Portf	61766J419	GLCDX		1.00	1.00	18.62000		SELL ONLY
Morgan Stanley	Morgan Stanley Counterpoint Global Portf	61766J435	GLCIX				3.34000		SELL ONLY
Morgan Stanley	Morgan Stanley Counterpoint Global Portf	61766J393	GLCSX				19.36000		SELL ONLY
Morgan Stanley	Morgan Stanley Developing Opportunity Po	61768B851	MDOAX	5.25		.25	1.73000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Developing Opportunity Po	61768B844	MDOBX		1.00	1.00	2.54000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Developing Opportunity Po	61768B869	MDOEX				1.42000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Developing Opportunity Po	61768B836	MDODX				17.68000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Europe Opportunity Fund	616939104	EUGAX	5.25		.25	1.61000		SELL ONLY
Morgan Stanley	Morgan Stanley Europe Opportunity Fund	616939708	MSEEX		1.00	1.00	2.67000		SELL ONLY
Morgan Stanley	Morgan Stanley Europe Opportunity Fund	616939401	EUGDX				1.40000		SELL ONLY
Morgan Stanley	Morgan Stanley Europe Opportunity Fund	616939302	EUGCX			.75	2.24000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Endurance Portfoli	61766J138	MSJAX	5.25		.25	5.67000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Endurance Portfoli	61766J120	MSJCX		1.00	1.00	7.61000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Endurance Portfoli	61766J146	MSJIX				5.12000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Endurance Portfoli	61766J112	MSJSX				16.93000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Fixed Income Opp	616961108	DINAX	3.25		.25	0.83000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Fixed Income Opp	61765E106	MSIPX		1.00	1.00	1.56000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Fixed Income Opp	616961405	DINDX				0.56000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Fixed Income Opp	61762E109	MGFOX				0.48000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Fixed Income Opp	616961306	DINCX			.50	1.08000		SELL ONLY
Morgan Stanley	Morgan Stanley Global Permanence Portf	61768B208	MGKAX	5.25		.25	26.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Morgan Stanley	Morgan Stanley Global Permanence Portf	61768B307	MGKCX		1.00	1.00	28.76000		SELL ONLY	
Morgan Stanley	Morgan Stanley Global Permanence Portf	61768B109	MGKIX				8.93000		SELL ONLY	
Morgan Stanley	Morgan Stanley Global Permanence Portf	61768B406	MGKQX				26.93000		SELL ONLY	
Morgan Stanley	Morgan Stanley Insight Fund Class A	61747T106	CPOAX	5.25		.25	1.10000		SELL ONLY	
Morgan Stanley	Morgan Stanley Insight Fund Class C	61762C202	MSCMX		1.00	1.00	1.84000		SELL ONLY	
Morgan Stanley	Morgan Stanley Insight Fund Class I	61747T403	CPODX				0.84000		SELL ONLY	
Morgan Stanley	Morgan Stanley Insight Fund Class IS	61762C103	MCRTX				0.76000		SELL ONLY	
Morgan Stanley	Morgan Stanley Insight Fund Class L	61747T304	CPOCX			.75	1.59000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617440581	MFXAX	3.25		.25	0.92000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617455795	MSCKX		1.00	1.00	1.62000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617440300	MPFIX				0.64000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617440128	MSIOX			.50	1.37000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617440490	MIGAX	3.25		.25	1.10000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617455787	MSBOX		1.00	1.00	1.90000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617440805	MPFDX				0.86000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Cd	617440276	MGILX			.50	1.39000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Dis	617440599	MACGX	5.25		.25	1.01000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Dis	617455746	MSMFX		1.00	1.00	1.75000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Dis	617440508	MPEGX				0.74000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Dis	617455308	MMCGX				0.64000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Dis	617440169	MSKLX			.75	1.50000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Gl	617440557	MBAAX	5.25		.25	1.08000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Gl	617455779	MSSOX		1.00	1.00	1.98000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Gl	617440839	MPBAX				0.84000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Gl	617455720	MGPOX				0.75000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Gl	617440185	MSDLX			.75	1.60000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Hid	617440219	MSYPX	3.25		.25	1.31000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Hid	617455761	MSHDX		1.00	1.00	2.02000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Hid	617440235	MSYIX				1.02000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Hid	617455407	MSHYX				0.94000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Hid	617440227	MSYLX			.50	1.91000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Sh	617440359	MLDAX	2.00		.25	0.77000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Sh	617455753	MSLDX		1.00	1.00	7.65000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Sh	617440862	MPLDX				0.53000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Sh	617455712	MSDSX				12.15000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Sh	617455209	MSJLX			.50	1.26000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust St	617455605	MSADX	3.25		.25	2.89000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Morgan Stanley	Morgan Stanley Institutional Fund Trust St	617455738	MSPDX		1.00	1.00	4.43000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust St	617455506	MSIDX				1.98000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust St	617455860	MSTCX				1.99000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Ul	617455670	MUAIX			.25	0.56000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Ul	617455696	MULSX				0.31000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund Trust Ul	617455688	MUIIX			.05	0.36000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Act	61744J655	MSIBX	5.25		.25	1.31000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Act	61760X554	MSAAX		1.00	1.00	5.66000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Act	61744J846	MSACX				1.02000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Act	61756E313	MSLLX			.50	1.86000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Adv	61756E776	MAPPX	5.25		.25	1.16000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Adv	61760X547	MSPRX		1.00	1.00	1.86000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Adv	61756E784	MPAIX				0.89000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Adv	61760X729	MAD SX				0.80000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Adv	61756E750	MAPLX			.75	1.66000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Asi	61760X240	MSAUX	5.25		.25	1.36000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Asi	61760X232	MSAWX		1.00	1.00	2.10000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Asi	61760X224	MSAQX				1.08000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Asi	61760X216	MSAYX				1.04000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61744J598	IEDBX	4.25		0.25	2.4000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X406	MEAPX	3.25		.25	1.87000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X513	MSEDX		1.00	1.00	3.05000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X208	MEAIX				1.53000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X661	MRDPX				12.56000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X307	MEALX			.50	2.35000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X596	MELAX	5.25		.25	1.82000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X273	MEMLX		1.00	1.00	2.63000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X612	MELIX				1.47000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X570	MELSX				1.42000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61744J580	MMKBX	5.25		.25	1.43000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X497	MSEPX		1.00	1.00	2.60000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61744J820	MGEMX				1.10000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61760X794	MMMPX				1.00000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Em	61756E289	MSELX			.75	3.06000	2.00	SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J609	MLNAX	5.25		.25	2.13000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J708	MLNCX		1.00	1.00	2.91000		SELL ONLY	
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J500	MLNIX				1.81000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J807	MLNSX				9.20000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J872	MLMAX	5.25		.25	3.32000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J864	MLMCX		1.00	1.00	4.11000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J880	MLMIX				2.93000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61766J856	MLMSX				18.19000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61744J275	MSFBX	5.25		.25	1.16000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X463	MSGFX		1.00	1.00	1.91000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61744J283	MSFAX				0.92000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X265	MGISX				0.83000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E263	MSFLX			.75	1.66000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E644	MTIPX	5.25		.25	1.38000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X315	MSGTX		1.00	1.00	2.22000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E651	MTIIX				1.18000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X737	MSGPX				20.65000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E628	MTILX			.75	1.94000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E578	MIGPX	5.25		.25	1.37000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X489	MSPTX		1.00	1.00	2.13000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E594	MIGIX				1.11000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E586	MIGLX			.75	2.11000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E685	MGGPX	5.25		.25	1.21000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X448	MSOPX		1.00	1.00	1.92000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E693	MGGIX				0.93000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X786	MGTSX				0.83000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E669	MGGLX			.75	1.71000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61744J135	MRLBX	5.25		.25	1.91000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X422	MSRDX		1.00	1.00	2.97000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61744J143	MRLAX				1.21000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X778	MGREX				1.02000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61756E875	MGRLX			.75	2.09000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X646	MGQAX	5.25		.25	1.76000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X430	MSGQX		1.00	1.00	2.51000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X653	MGQIX				1.45000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X620	MGQSX				1.41000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Glo	61760X638	MGQLX			.75	2.32000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Grd	61744J564	MSEGX	5.25		.25	0.80000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Grd	61760X414	MSGUX		1.00	1.00	1.54000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Grd	61744J861	MSEQX				0.55000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Grd	61760X711	MGRPX				0.48000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Grd	61756E156	MSHLX			.75	1.30000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inc	61744J614	MSSMX	5.25		.25	1.45000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inc	61760X299	MSCOX		1.00	1.00	2.27000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inc	61744J309	MSSGX				1.19000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inc	61756E149	MFLX				1.12000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inc	61756E396	MSSLX			.75	2.11000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E446	MFAPX	5.25		.25	1.28000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61760X380	MSIAX		1.00	1.00	1.98000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E461	MFAIX				0.99000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61766J344	IDVSX				0.90000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E453	MSALX			.75	2.48000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61744J499	MIQBX	5.25		.25	1.43000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61760X372	MSECX		1.00	1.00	2.41000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61744J408	MSIQX				1.00000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61760X760	MIQPX				0.91000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E248	MSQLX			.75	1.83000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E826	MIOPX	5.25		.25	1.26000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61760X364	MSOCX		1.00	1.00	1.98000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E834	MIOIX				0.98000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61760X752	MNOPX				0.90000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Inte	61756E792	MIOLX			.75	2.14000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Nex	61760X810	MFMPX	5.25		.25	2.13000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Nex	61760X331	MSFEX		1.00	1.00	3.11000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Nex	61760X836	MF MIX				1.82000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Nex	61760X562	MSRFX				1.77000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. Nex	61760X828	MFMLX			.75	3.12000	2.00	SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. U.S	61744J457	MUSDY	5.25		.25	1.52000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. U.S	61760X281	MSURX		1.00	1.00	3.39000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. U.S	61744J671	MSUSX				1.19000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. U.S	61760X687	MURSX				1.20000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. U.S	61756E420	MSULX			.75	2.11000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. US	61766J831	MUOAX	5.25		.25	2.29000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. US	61766J823	MUOCX		1.00	1.00	3.07000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. US	61766J849	MUOIX				1.97000		SELL ONLY
Morgan Stanley	Morgan Stanley Institutional Fund, Inc. US	61766J815	MUOSX				13.73000		SELL ONLY
Morgan Stanley	Morgan Stanley Instl Fd Inc Asian Equity F	61756E487	MEQPX	5.25		0.25	6.3500	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Morgan Stanley	Morgan Stanley Mortgage Securities Trust	616962106	MTGAX	3.25			.25	1.16000		SELL ONLY
Morgan Stanley	Morgan Stanley Mortgage Securities Trust	616962502	MSMTX		1.00	1.00		1.90000		SELL ONLY
Morgan Stanley	Morgan Stanley Mortgage Securities Trust	616962403	MTGDX					0.91000		SELL ONLY
Morgan Stanley	Morgan Stanley Mortgage Securities Trust	616962304	MTGCX				.50	1.53000		SELL ONLY
Morgan Stanley	Morgan Stanley Multi-Asset Real Return P	61766J179	MRJAX	5.25			.25	10.61000		SELL ONLY
Morgan Stanley	Morgan Stanley Multi-Asset Real Return P	61766J161	MRJCX		1.00	1.00		5.10000		SELL ONLY
Morgan Stanley	Morgan Stanley Multi-Asset Real Return P	61766J187	MRJIX					2.93000		SELL ONLY
Morgan Stanley	Morgan Stanley Multi-Asset Real Return P	61766J153	MRJSX					22.80000		SELL ONLY
Morgan Stanley	Morgan Stanley U.S. Government Securitie	616969101	USGAX	3.25			.25	0.97000		SELL ONLY
Morgan Stanley	Morgan Stanley U.S. Government Securitie	616969507	MSGVX		1.00	1.00		1.72000		SELL ONLY
Morgan Stanley	Morgan Stanley U.S. Government Securitie	616969408	USGDX					0.73000		SELL ONLY
Morgan Stanley	Morgan Stanley U.S. Government Securitie	616969309	USGCX				.50	1.24000		SELL ONLY
Morgan Stanley	Morgan Stanley Ultra-Short Municipal Inco	617455480	MUAMX				.20	0.59000		SELL ONLY
Morgan Stanley	Morgan Stanley Ultra-Short Municipal Inco	617455514	MULMX					0.40000		SELL ONLY
Morgan Stanley	Morgan Stanley Ultra-Short Municipal Inco	617455498	MUIMX				.10	0.49000		SELL ONLY
Muhlenkamp	Muhlenkamp Fund	56166Y438	MUHLX				.00	1.35000		SELL ONLY
Nationwide	Nationwide AllianzGI International Growth	63868D852	NWAGX	5.75			.25	1.17000		SELL ONLY
Nationwide	Nationwide AllianzGI International Growth	63868D845	NWAHX					0.84000		SELL ONLY
Nationwide	Nationwide AllianzGI International Growth	63868D837	NWAKX					1.09000		SELL ONLY
Nationwide	Nationwide American Century Small Cap I	63867N265	NWUAX	5.75			.25	1.33000		SELL ONLY
Nationwide	Nationwide American Century Small Cap I	63867N257	NWUCX		1.00	1.00		2.11000		SELL ONLY
Nationwide	Nationwide American Century Small Cap I	63867N232	NWUIX					1.01000		SELL ONLY
Nationwide	Nationwide American Century Small Cap I	63867N240	NWUSX					1.26000		SELL ONLY
Nationwide	Nationwide Amundi Global High Yield Fund	63868C573	NWXIX	2.25			.25	1.36000		SELL ONLY
Nationwide	Nationwide Amundi Global High Yield Fund	63868C565	NWXJX		1.00	1.00		2.11000		SELL ONLY
Nationwide	Nationwide Amundi Global High Yield Fund	63868C557	NWXKX					0.86000		SELL ONLY
Nationwide	Nationwide Amundi Global High Yield Fund	63868C540	NWXLX					1.11000		SELL ONLY
Nationwide	Nationwide Amundi Strategic Income Fund	63868C623	NWXEX	2.25			.25	1.23000		SELL ONLY
Nationwide	Nationwide Amundi Strategic Income Fund	63868C615	NWXFX		1.00	1.00		1.98000		SELL ONLY
Nationwide	Nationwide Amundi Strategic Income Fund	63868C599	NWXGX					0.73000		SELL ONLY
Nationwide	Nationwide Amundi Strategic Income Fund	63868C581	NWXHX					0.84000		SELL ONLY
Nationwide	Nationwide Amundi World Bond CI R6	63868C680	NWWYX					1.3600		SELL ONLY
Nationwide	Nationwide Bailard Cognitive Value Fund C	63868B807	NWHDX	5.75			.25	1.52000		SELL ONLY
Nationwide	Nationwide Bailard Cognitive Value Fund C	63868B880	NWHEX		1.00	1.00		2.21000		SELL ONLY
Nationwide	Nationwide Bailard Cognitive Value Fund C	63868B864	NWHGX					1.16000		SELL ONLY
Nationwide	Nationwide Bailard Cognitive Value Fund I	63868B856	NWHHX					1.33000		SELL ONLY
Nationwide	Nationwide Bailard International Equities F	63868B849	NWHJX	5.75			.25	1.28000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Nationwide	Nationwide Bailard International Equities F	63868B831	NWHKX		1.00	1.00	2.03000		SELL ONLY	
Nationwide	Nationwide Bailard International Equities F	63868B815	NWHMX				0.94000		SELL ONLY	
Nationwide	Nationwide Bailard International Equities F	63868B799	NWHNX				0.99000		SELL ONLY	
Nationwide	Nationwide Bailard Technology and Scienc	63868B781	NWHOX	5.75		.25	1.22000		SELL ONLY	
Nationwide	Nationwide Bailard Technology and Scienc	63868B773	NWHPX		1.00	1.00	1.98000		SELL ONLY	
Nationwide	Nationwide Bailard Technology and Scienc	63868B757	NWHTX				0.93000		SELL ONLY	
Nationwide	Nationwide Bailard Technology and Scienc	63868B740	NWHUX				1.05000		SELL ONLY	
Nationwide	Nationwide Bond Fund Class A	63867R100	NBDAX	2.25		.25	0.79000		SELL ONLY	
Nationwide	Nationwide Bond Fund Class C	63867R308	GBDCX		1.00	1.00	1.56000		SELL ONLY	
Nationwide	Nationwide Bond Fund Class R6	63868B401	NWIBX				0.51000		SELL ONLY	
Nationwide	Nationwide Bond Fund Institutional Service	63867R407	MUIBX				0.59000		SELL ONLY	
Nationwide	Nationwide Bond Index Fund Class A	63867R886	GBIAX	2.25		.25	0.69000		SELL ONLY	
Nationwide	Nationwide Bond Index Fund Class C	63867R860	GBICX		1.00	1.00	1.37000		SELL ONLY	
Nationwide	Nationwide Bond Index Fund Class R6	63867R845	GBXIX				0.27000		SELL ONLY	
Nationwide	Nationwide Bond Index Fund Institutional S	63868C524	NWXOX				0.52000		SELL ONLY	
Nationwide	Nationwide Core Plus Bond Fund Class A	63868B500	NWCPX	4.25		.25	0.83000		SELL ONLY	
Nationwide	Nationwide Core Plus Bond Fund Class R6	63868B708	NWCIX				0.49000		SELL ONLY	
Nationwide	Nationwide Core Plus Bond Fund Institutio	63868B609	NWCSX				0.56000		SELL ONLY	
Nationwide	Nationwide Destination 2025 Fund Class A	63867N778	NWHAX	5.75		.25	0.90000		SELL ONLY	
Nationwide	Nationwide Destination 2025 Fund Class F	63867N745	NWHBX			.50	1.15000		SELL ONLY	
Nationwide	Nationwide Destination 2025 Fund Class F	63867N729	NWHIX				0.40000		SELL ONLY	
Nationwide	Nationwide Destination 2025 Fund Institut	63867N737	NWHSX				0.65000		SELL ONLY	
Nationwide	Nationwide Destination 2030 Fund Class A	63867N711	NWIAX	5.75		.25	0.89000		SELL ONLY	
Nationwide	Nationwide Destination 2030 Fund Class F	63867N679	NWBIX			.50	1.16000		SELL ONLY	
Nationwide	Nationwide Destination 2030 Fund Class F	63867N653	NWIIX				0.41000		SELL ONLY	
Nationwide	Nationwide Destination 2030 Fund Institut	63867N661	NWISX				0.66000		SELL ONLY	
Nationwide	Nationwide Destination 2035 Fund Class A	63867N646	NWLAX	5.75		.25	0.91000		SELL ONLY	
Nationwide	Nationwide Destination 2035 Fund Class F	63867N612	NWLBX			.50	1.16000		SELL ONLY	
Nationwide	Nationwide Destination 2035 Fund Class F	63867N588	NWLIX				0.41000		SELL ONLY	
Nationwide	Nationwide Destination 2035 Fund Institut	63867N596	NWLSX				0.66000		SELL ONLY	
Nationwide	Nationwide Destination 2040 Fund Class A	63867N570	NWMAX	5.75		.25	0.90000		SELL ONLY	
Nationwide	Nationwide Destination 2040 Fund Class F	63867N547	NWMDX			.50	1.15000		SELL ONLY	
Nationwide	Nationwide Destination 2040 Fund Class F	63867N521	NWMDX				0.40000		SELL ONLY	
Nationwide	Nationwide Destination 2040 Fund Institut	63867N539	NWMSX				0.65000		SELL ONLY	
Nationwide	Nationwide Destination 2045 Fund Class A	63867N513	NWNAX	5.75		.25	0.90000		SELL ONLY	
Nationwide	Nationwide Destination 2045 Fund Class F	63867N471	NWNBX			.50	1.15000		SELL ONLY	
Nationwide	Nationwide Destination 2045 Fund Class F	63867N455	NWNIX				0.40000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Nationwide	Nationwide Destination 2045 Fund Institutional	63867N463	NWNSX				0.65000		SELL ONLY
Nationwide	Nationwide Destination 2050 Fund Class A	63867N448	NWOAX	5.75		.25	0.90000		SELL ONLY
Nationwide	Nationwide Destination 2050 Fund Class F	63867N414	NWOBX			.50	1.15000		SELL ONLY
Nationwide	Nationwide Destination 2050 Fund Class F	63867N380	NWOIX				0.40000		SELL ONLY
Nationwide	Nationwide Destination 2050 Fund Institutional	63867N398	NWOSX				0.65000		SELL ONLY
Nationwide	Nationwide Destination 2055 Fund Class A	63867N224	NTDAX	5.75		.25	0.90000		SELL ONLY
Nationwide	Nationwide Destination 2055 Fund Class F	63867N182	NTDTX			.50	1.15000		SELL ONLY
Nationwide	Nationwide Destination 2055 Fund Class F	63867N174	NTDIX				0.40000		SELL ONLY
Nationwide	Nationwide Destination 2055 Fund Institutional	63867N166	NTDSX				0.65000		SELL ONLY
Nationwide	Nationwide Destination 2060 Fund Class A	63867N158	NWWRX	5.75		.25	0.90000		SELL ONLY
Nationwide	Nationwide Destination 2060 Fund Class F	63867N133	NWWTX			.50	1.15000		SELL ONLY
Nationwide	Nationwide Destination 2060 Fund Class F	63867N125	NWWUX				0.40000		SELL ONLY
Nationwide	Nationwide Destination 2060 Fund Institutional	63867N117	NWWVX				0.65000		SELL ONLY
Nationwide	Nationwide Destination Retirement Fund C	63867N703	NWEAX	5.75		.25	0.89000		SELL ONLY
Nationwide	Nationwide Destination Retirement Fund C	63867N877	NWEBX			.50	1.14000		SELL ONLY
Nationwide	Nationwide Destination Retirement Fund C	63867N851	NWEIX				0.39000		SELL ONLY
Nationwide	Nationwide Destination Retirement Fund Institutional	63867N869	NWESX				0.64000		SELL ONLY
Nationwide	Nationwide Diamond Hill Large Cap Concentration	63868B591	NWGHX	5.75		.25	1.89000		SELL ONLY
Nationwide	Nationwide Diamond Hill Large Cap Concentration	63868B583	NWGIX		1.00	1.00	2.61000		SELL ONLY
Nationwide	Nationwide Diamond Hill Large Cap Concentration	63868B575	NWGJX				1.53000		SELL ONLY
Nationwide	Nationwide Diamond Hill Large Cap Concentration	63868B567	NWGXK				1.73000		SELL ONLY
Nationwide	Nationwide Emerging Markets Debt Fund C	63868C664	NWXAX	2.25		.25	1.55000		SELL ONLY
Nationwide	Nationwide Emerging Markets Debt Fund C	63868C656	NWXBX		1.00	1.00	2.30000		SELL ONLY
Nationwide	Nationwide Emerging Markets Debt Fund C	63868C649	NWXCX				1.05000		SELL ONLY
Nationwide	Nationwide Emerging Markets Debt Fund Institutional	63868C631	NWXDX				1.30000		SELL ONLY
Nationwide	Nationwide Fund Class A	63867R654	NWFAX	5.75		.25	0.92000		SELL ONLY
Nationwide	Nationwide Fund Class C	63867R639	GTRCX		1.00	1.00	1.72000		SELL ONLY
Nationwide	Nationwide Fund Class R	63867R613	GNWRX			.50	1.38000		SELL ONLY
Nationwide	Nationwide Fund Class R6	63868D803	NWABX				0.63000		SELL ONLY
Nationwide	Nationwide Fund Institutional Service Class	63867R621	MUIFX				0.71000		SELL ONLY
Nationwide	Nationwide Geneva Mid Cap Growth Fund	63868B732	NWHVX	5.75		.25	1.10000		BUY,SELL
Nationwide	Nationwide Geneva Mid Cap Growth Fund	63868B724	NWHWX		1.00	1.00	1.84000		SELL ONLY
Nationwide	Nationwide Geneva Mid Cap Growth Fund	63868B716	NWKAX				0.74000		SELL ONLY
Nationwide	Nationwide Geneva Mid Cap Growth Fund	63868B690	NWHYX				0.87000		SELL ONLY
Nationwide	Nationwide Geneva Small Cap Growth Fund	63868B682	NWHZX	5.75		.25	1.20000		SELL ONLY
Nationwide	Nationwide Geneva Small Cap Growth Fund	63868B674	NWKBX		1.00	1.00	1.92000		SELL ONLY
Nationwide	Nationwide Geneva Small Cap Growth Fund	63868B666	NWKCX				0.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Nationwide	Nationwide Geneva Small Cap Growth Fund	63868B658	NWKDX					0.96000		SELL ONLY
Nationwide	Nationwide Global Sustainable Equity Fund	63867V184	GGEAX	5.75			.25	1.61000		SELL ONLY
Nationwide	Nationwide Global Sustainable Equity Fund	63867V176	GGEEX		1.00	1.00		2.38000		SELL ONLY
Nationwide	Nationwide Global Sustainable Equity Fund	63867V150	GGEIX					1.26000		SELL ONLY
Nationwide	Nationwide Global Sustainable Equity Fund	63867V168	GGESX					1.35000		SELL ONLY
Nationwide	Nationwide GQG US Quality Equity Fund	63868D696	NWAVX					1.69000		SELL ONLY
Nationwide	Nationwide Herndon Mid Cap Value Fund	63868C755	NWWMX	5.75			0.25	5.5400		SELL ONLY
Nationwide	Nationwide Herndon Mid Cap Value Fund	63868C748	NWWNX		1.00		1	6.3500		SELL ONLY
Nationwide	Nationwide Herndon Mid Cap Value Fund	63868C730	NWWQX					5.3500		SELL ONLY
Nationwide	Nationwide Herndon Mid Cap Value Fund	63868C722	NWWPX					5.3500		SELL ONLY
Nationwide	Nationwide HighMark Value Fund Class U	63868B450	NWGVX					0.7500		SELL ONLY
Nationwide	Nationwide Inflation-Protected Securities F	63867R142	NIFAX	2.25			.25	0.73000		SELL ONLY
Nationwide	Nationwide Inflation-Protected Securities F	63867R134	NIFIX					0.37000		SELL ONLY
Nationwide	Nationwide Inflation-Protected Securities F	63868C532	NWXNX					0.50000		SELL ONLY
Nationwide	Nationwide International Index Fund Class	63867T700	GIIX	5.75			.25	0.75000		SELL ONLY
Nationwide	Nationwide International Index Fund Class	63867T882	GIICX		1.00	1.00		1.43000		SELL ONLY
Nationwide	Nationwide International Index Fund Class	63867T874	GIIRX				.50	1.05000		SELL ONLY
Nationwide	Nationwide International Index Fund Class	63867T866	GIXIX					0.33000		SELL ONLY
Nationwide	Nationwide International Index Fund Institu	63868C516	NWXPX					0.49000		SELL ONLY
Nationwide	Nationwide International Small Cap Fund C	63868C474	NWXSX	5.75			.25	1.54000		SELL ONLY
Nationwide	Nationwide International Small Cap Fund C	63868C458	NWXUX					1.04000		SELL ONLY
Nationwide	Nationwide International Small Cap Fund I	63868C441	NWXVX					1.16000		SELL ONLY
Nationwide	Nationwide International Value Fund Class	63867N299	NWVCX		1.00	1		2.3100		SELL ONLY
Nationwide	Nationwide International Value Fund Institu	63867N281	NWVSX					1.3700		SELL ONLY
Nationwide	Nationwide Investor Destinations Aggressi	63867T858	NDAAX	5.75			.25	0.87000		SELL ONLY
Nationwide	Nationwide Investor Destinations Aggressi	63867T833	NDACX		1.00	1.00		1.62000		SELL ONLY
Nationwide	Nationwide Investor Destinations Aggressi	63867T825	GAFRX				.50	1.19000		SELL ONLY
Nationwide	Nationwide Investor Destinations Aggressi	63867T817	GAIDX					0.53000		SELL ONLY
Nationwide	Nationwide Investor Destinations Aggressi	63868B245	NWWHX					0.64000		SELL ONLY
Nationwide	Nationwide Investor Destinations Conserva	63867T783	NDCAX	5.75			.25	0.82000		SELL ONLY
Nationwide	Nationwide Investor Destinations Conserva	63867T767	NDCCX		1.00	1.00		1.56000		SELL ONLY
Nationwide	Nationwide Investor Destinations Conserva	63867T759	GCFRX				.50	1.15000		SELL ONLY
Nationwide	Nationwide Investor Destinations Conserva	63867T742	GIMCX					0.49000		SELL ONLY
Nationwide	Nationwide Investor Destinations Conserva	63868B195	NWWLX					0.58000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderat	63867T726	NADMX	5.75			.25	0.85000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderat	63867T692	NCDMX		1.00	1.00		1.59000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderat	63867T684	GMDRX				.50	1.16000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1	Gross	Redemption	Buy/Sell Eligible
				Load	CDSC		Expense Ratio		
Nationwide	Nationwide Investor Destinations Moderate	63867T676	GMDIX				0.51000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63868B229	NWWJX				0.61000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T650	NDMAX	5.75		.25	0.88000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T635	NDMCX		1.00	1.00	1.60000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T627	GMARX			.50	1.20000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T619	GMIAX				0.54000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63868B237	NWWIX				0.61000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T585	NADCX	5.75		.25	0.83000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T569	NCDCX		1.00	1.00	1.57000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T551	GMMRX			.50	1.17000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63867T544	GMIMX				0.51000		SELL ONLY
Nationwide	Nationwide Investor Destinations Moderate	63868B211	NWWKX				0.66000		SELL ONLY
Nationwide	Nationwide Loomis All Cap Growth Fund C	63868D100	NWZLX	5.75		.25	1.38000		SELL ONLY
Nationwide	Nationwide Loomis All Cap Growth Fund C	63868D209	NWZMX				0.89000		SELL ONLY
Nationwide	Nationwide Loomis All Cap Growth Fund Ir	63868D308	NWZNX				1.14000		SELL ONLY
Nationwide	Nationwide Loomis Core Bond Fund Class	63868C102	NWJGX	2.25		.25	0.82000		SELL ONLY
Nationwide	Nationwide Loomis Core Bond Fund Class	63868C201	NWJHX		1.00	.75	1.33000		SELL ONLY
Nationwide	Nationwide Loomis Core Bond Fund Class	63868C300	NWJIX				0.49000		SELL ONLY
Nationwide	Nationwide Loomis Core Bond Fund Institu	63868C409	NWJJX				0.74000		SELL ONLY
Nationwide	Nationwide Loomis Short Term Bond Fund	63868C847	NWJSX	2.25		.25	0.82000		SELL ONLY
Nationwide	Nationwide Loomis Short Term Bond Fund	63868C839	NWJTX		1.00	.75	1.32000		SELL ONLY
Nationwide	Nationwide Loomis Short Term Bond Fund	63868C821	NWJUX				0.49000		SELL ONLY
Nationwide	Nationwide Loomis Short Term Bond Fund	63868C813	NWJVX				0.54000		SELL ONLY
Nationwide	Nationwide Mellon Disciplined Value Fund	63868D795	NWAMX			.10	0.83000		SELL ONLY
Nationwide	Nationwide Mellon Dynamic U.S. Core Fur	63867R282	NMFAX	5.75		.25	0.87000		SELL ONLY
Nationwide	Nationwide Mellon Dynamic U.S. Core Fur	63867R266	GCGRX		1.00	1.00	1.62000		SELL ONLY
Nationwide	Nationwide Mellon Dynamic U.S. Core Fur	63867R241	GGFRX			.50	1.31000		SELL ONLY
Nationwide	Nationwide Mellon Dynamic U.S. Core Fur	63867R258	MUIGX				0.56000		SELL ONLY
Nationwide	Nationwide Mellon Dynamic U.S. Core Fur	63868D878	NWAEX				0.66000		SELL ONLY
Nationwide	Nationwide Mellon Dynamic U.S. Core Fur	63867V192	NGISX				0.67000		SELL ONLY
Nationwide	Nationwide Mid Cap Market Index Fund Cl	63867U830	GMXAX	5.75		.25	0.69000		SELL ONLY
Nationwide	Nationwide Mid Cap Market Index Fund Cl	63867U814	GMCCX		1.00	1.00	1.37000		SELL ONLY
Nationwide	Nationwide Mid Cap Market Index Fund Cl	63867U798	GMXRX			.50	1.00000		SELL ONLY
Nationwide	Nationwide Mid Cap Market Index Fund Cl	63867U780	GMXIX				0.28000		SELL ONLY
Nationwide	Nationwide Mid Cap Market Index Fund In	63868C490	NWXQX				0.43000		SELL ONLY
Nationwide	Nationwide NYSE Arca Tech 100 Index Fu	63868B377	NWJCX	5.75		.25	0.67000		SELL ONLY
Nationwide	Nationwide NYSE Arca Tech 100 Index Fu	63868B369	NWJDX		1.00	1.00	1.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1	Gross	Redemption	Buy/Sell Eligible
				Load	CDSC		Expense Ratio		
Nationwide	Nationwide NYSE Arca Tech 100 Index Fu	63868B351	NWJEX				0.32000		SELL ONLY
Nationwide	Nationwide NYSE Arca Tech 100 Index Fu	63868B344	NWJFX				0.45000		SELL ONLY
Nationwide	Nationwide S&P 500 Index Fund Class A	63867U376	GRMAX	5.75		.25	0.64000		SELL ONLY
Nationwide	Nationwide S&P 500 Index Fund Class C	63867U350	GRMCX		1.00	1.00	1.27000		SELL ONLY
Nationwide	Nationwide S&P 500 Index Fund Class R	63867U343	GRMRX			.50	0.95000		SELL ONLY
Nationwide	Nationwide S&P 500 Index Fund Class R6	63867U335	GRMIX				0.20000		SELL ONLY
Nationwide	Nationwide S&P 500 Index Fund Institution	63867U327	GRISX				0.45000		SELL ONLY
Nationwide	Nationwide Small Cap Index Fund Class A	63867V705	GMRAX	5.75		.25	0.74000		SELL ONLY
Nationwide	Nationwide Small Cap Index Fund Class C	63867V887	GMRCX		1.00	1.00	1.44000		SELL ONLY
Nationwide	Nationwide Small Cap Index Fund Class R	63867V879	GMSRX			.50	1.05000		SELL ONLY
Nationwide	Nationwide Small Cap Index Fund Class R	63867V861	GMRIX				0.32000		SELL ONLY
Nationwide	Nationwide Small Cap Index Fund Institutio	63868C482	NWXRX				0.57000		SELL ONLY
Nationwide	Nationwide Small Company Growth Fund (63867V226	NWSAX	5.75		.25	1.36000		SELL ONLY
Nationwide	Nationwide Small Company Growth Fund I	63867V218	NWSIX				1.20000		SELL ONLY
Nationwide	Nationwide WCM Focused Small Cap Fun	63868B518	NWGPX	5.75		.25	1.45000		SELL ONLY
Nationwide	Nationwide WCM Focused Small Cap Fun	63868B336	NWGQX		1.00	1.00	2.22000		SELL ONLY
Nationwide	Nationwide WCM Focused Small Cap Fun	63868B492	NWKEX				1.10000		SELL ONLY
Nationwide	Nationwide WCM Focused Small Cap Fun	63868B484	NWGSX				1.20000		SELL ONLY
Natixis Funds	AlphaSimplex Global Alternatives Fund Cla	63872T703	GAFAX	5.75		.25	1.56000		SELL ONLY
Natixis Funds	AlphaSimplex Global Alternatives Fund Cla	63872T802	GAFCX		1.00	1.00	2.31000		SELL ONLY
Natixis Funds	AlphaSimplex Global Alternatives Fund Cla	63872T448	GAFNX			.00	1.67000		SELL ONLY
Natixis Funds	AlphaSimplex Global Alternatives Fund Cla	63872T885	GAFYX			.00	1.31000		SELL ONLY
Natixis Funds	AlphaSimplex Managed Futures Strategy F	63872T745	AMFAX	5.75		.25	1.81000		SELL ONLY
Natixis Funds	AlphaSimplex Managed Futures Strategy F	63872T737	ASFCX		1.00	1.00	2.55000		SELL ONLY
Natixis Funds	AlphaSimplex Managed Futures Strategy F	63873P825	AMFNX			.00	1.36000		SELL ONLY
Natixis Funds	AlphaSimplex Managed Futures Strategy F	63872T729	ASFYX			.00	1.55000		SELL ONLY
Natixis Funds	Gateway Equity Call Premium Fund Class	367829843	GCPAX	5.75		.25	1.36000		SELL ONLY
Natixis Funds	Gateway Equity Call Premium Fund Class	367829835	GCPCX		1.00	1.00	2.10000		SELL ONLY
Natixis Funds	Gateway Equity Call Premium Fund Class	367829785	GCPNX			.00	1.22000		SELL ONLY
Natixis Funds	Gateway Equity Call Premium Fund Class	367829827	GCPYX			.00	1.10000		SELL ONLY
Natixis Funds	Gateway Fund Class A Shares	367829207	GATEX	5.75		.25	0.97000		SELL ONLY
Natixis Funds	Gateway Fund Class C Shares	367829702	GTECX		1.00	1.00	1.72000		SELL ONLY
Natixis Funds	Gateway Fund Class N	367829777	GTENX			.00	0.65000		SELL ONLY
Natixis Funds	Gateway Fund Class Y Shares	367829884	GTEYX			.00	0.72000		SELL ONLY
Natixis Funds	Loomis Sayles Core Plus Bond Fund Class	63872R798	NEFRX	4.25		.25	0.72000		BUY,SELL
Natixis Funds	Loomis Sayles Core Plus Bond Fund Class	63872R772	NECRX		1.00	1.00	1.47000		SELL ONLY
Natixis Funds	Loomis Sayles Core Plus Bond Fund Class	63872R574	NERNX			.00	0.38000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Natixis Funds	Loomis Sayles Core Plus Bond Fund Class	63872R764	NERYX			.00	0.47000		SELL ONLY
Natixis Funds	Loomis Sayles Credit Income Fund Class	543488647	LOCAX	4.25		.25	1.36000		SELL ONLY
Natixis Funds	Loomis Sayles Credit Income Fund Class	543488639	LOCCX		1.00	1.00	2.11000		SELL ONLY
Natixis Funds	Loomis Sayles Credit Income Fund Class	543488621	LOCNX			.00	1.42000		SELL ONLY
Natixis Funds	Loomis Sayles Credit Income Fund Class	543488613	LOCYX			.00	1.11000		SELL ONLY
Natixis Funds	Loomis Sayles Global Allocation Fund Class	46602Q107	LGMAX	5.75		.25	1.15000		BUY,SELL
Natixis Funds	Loomis Sayles Global Allocation Fund Class	46602Q206	LGMCX		1.00	1.00	1.90000		SELL ONLY
Natixis Funds	Loomis Sayles Global Allocation Fund Class	543488753	LGMNX			.00	0.82000		SELL ONLY
Natixis Funds	Loomis Sayles Global Allocation Fund Class	543487870	LSWWX			.00	0.90000		SELL ONLY
Natixis Funds	Loomis Sayles Global Growth Fund Class	63872T240	LSAGX	5.75		.25	1.39000		SELL ONLY
Natixis Funds	Loomis Sayles Global Growth Fund Class	63872T232	LSCGX		1.00	1.00	2.14000		SELL ONLY
Natixis Funds	Loomis Sayles Global Growth Fund Class	63873P882	LSNGX			.00	1.08000		SELL ONLY
Natixis Funds	Loomis Sayles Global Growth Fund Class	63872T224	LSGGX			.00	1.14000		SELL ONLY
Natixis Funds	Loomis Sayles Growth Fund Class A	543487128	LGRRX	5.75		.25	0.90000		BUY,SELL
Natixis Funds	Loomis Sayles Growth Fund Class C	543487219	LGRCX		1.00	1.00	1.65000		SELL ONLY
Natixis Funds	Loomis Sayles Growth Fund Class N	543488845	LGRNX			.00	0.57000		SELL ONLY
Natixis Funds	Loomis Sayles Growth Fund Class Y	543487110	LSGRX			.00	0.65000		SELL ONLY
Natixis Funds	Loomis Sayles High Income Fund Class A	543487383	NEFHX	4.25		.25	1.22000		SELL ONLY
Natixis Funds	Loomis Sayles High Income Fund Class C	543487367	NEHCX		1.00	1.00	1.97000		SELL ONLY
Natixis Funds	Loomis Sayles High Income Fund Class Y	543488803	NEHYX			.00	0.98000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Duration Bond	543495725	LSDRX	4.25		.25	0.72000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Duration Bond	543495675	LSCDX		1.00	1.00	1.46000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Duration Bond	543495634	LSDNX			.00	0.43000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Duration Bond	543495709	LSDIX			.00	0.47000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Municipal Bond	63872T471	MIMAX	3.00		.25	1.43000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Municipal Bond	63872T463	MIMCX		1.00	1.00	2.18000		SELL ONLY
Natixis Funds	Loomis Sayles Intermediate Municipal Bond	63872T455	MIMYX			.00	1.17000		SELL ONLY
Natixis Funds	Loomis Sayles International Growth Fund	543488597	LIGGX	5.75		.25	1.60000		SELL ONLY
Natixis Funds	Loomis Sayles International Growth Fund	543488589	LIGCX		1.00	1.00	2.35000		SELL ONLY
Natixis Funds	Loomis Sayles International Growth Fund	543488571	LIGNX			.00	1.26000		SELL ONLY
Natixis Funds	Loomis Sayles International Growth Fund	543488563	LIGYX			.00	1.35000		SELL ONLY
Natixis Funds	Loomis Sayles Investment Grade Bond Fu	543488878	LIGAX			.25	1.05000		SELL ONLY
Natixis Funds	Loomis Sayles Investment Grade Bond Fu	543487144	LIGRX	4.25		.25	0.80000		BUY,SELL
Natixis Funds	Loomis Sayles Investment Grade Bond Fu	543487235	LGBCX		1.00	1.00	1.55000		SELL ONLY
Natixis Funds	Loomis Sayles Investment Grade Bond Fu	543488829	LGBNX			.00	0.47000		SELL ONLY
Natixis Funds	Loomis Sayles Investment Grade Bond Fu	543487136	LSIIX			.00	0.55000		SELL ONLY
Natixis Funds	Loomis Sayles Limited Term Government	543487359	NEFLX	2.25		.25	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		
Natixis Funds	Loomis Sayles Limited Term Government	543487334	NECLX		1.00	1.00	1.49000		SELL ONLY
Natixis Funds	Loomis Sayles Limited Term Government	543488746	LGANX			.00	0.42000		SELL ONLY
Natixis Funds	Loomis Sayles Limited Term Government	543487326	NELYX			.00	0.49000		SELL ONLY
Natixis Funds	Loomis Sayles Senior Floating Rate and F	63872T570	LSFAX	3.50		.25	1.20000		SELL ONLY
Natixis Funds	Loomis Sayles Senior Floating Rate and F	63872T562	LSFCX		1.00	1.00	1.95000		SELL ONLY
Natixis Funds	Loomis Sayles Senior Floating Rate and F	63873P866	LSFNX			.00	1.24000		SELL ONLY
Natixis Funds	Loomis Sayles Senior Floating Rate and F	63872T554	LSFYX			.00	0.95000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Alpha Fund Class	63872T646	LABAX	4.25		.25	0.99000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Alpha Fund Class	63872T638	LABCX		1.00	1.00	1.74000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Alpha Fund Class	63873P817	LASNX			.00	0.68000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Alpha Fund Class	63872T620	LASYX			.00	0.74000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Income Fund Adn	543488860	NEZAX			.25	1.22000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Income Fund Clas	543487284	NEFZX	4.25		.25	0.97000		BUY,SELL
Natixis Funds	Loomis Sayles Strategic Income Fund Clas	543487268	NECZX		1.00	1.00	1.72000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Income Fund Clas	543488795	NEZNX			.00	0.65000		SELL ONLY
Natixis Funds	Loomis Sayles Strategic Income Fund Clas	543487250	NEZYX			.00	0.72000		SELL ONLY
Natixis Funds	Mirova Global Green Bond Fund Class A	63872R525	MGGAX	4.25		.25	1.39000		SELL ONLY
Natixis Funds	Mirova Global Green Bond Fund Class N	63872R517	MGGNX			.00	1.03000		SELL ONLY
Natixis Funds	Mirova Global Green Bond Fund Class Y	63872R491	MGGYX			.00	1.14000		SELL ONLY
Natixis Funds	Mirova Global Sustainable Equity Fund Cla	63872R558	ESGMX	5.75		.25	1.24000		SELL ONLY
Natixis Funds	Mirova Global Sustainable Equity Fund Cla	63872R541	ESGCX		1.00	1.00	1.99000		SELL ONLY
Natixis Funds	Mirova Global Sustainable Equity Fund Cla	63872R392	ESGNX			.00	0.93000		SELL ONLY
Natixis Funds	Mirova Global Sustainable Equity Fund Cla	63872R533	ESGYX			.00	0.99000		SELL ONLY
Natixis Funds	Mirova International Sustainable Equity Fu	63872R368	MRVAX	5.75		.25	5.69000		SELL ONLY
Natixis Funds	Mirova International Sustainable Equity Fu	63872R350	MRVNX			.00	1.83000		SELL ONLY
Natixis Funds	Mirova International Sustainable Equity Fu	63872R343	MRVYX			.00	6.51000		SELL ONLY
Natixis Funds	Mirova U.S. Sustainable Equity Fund Class	63872R335	MUSAX	5.75		.25	2.28000		SELL ONLY
Natixis Funds	Mirova U.S. Sustainable Equity Fund Class	63872R327	MUSCX		1.00	1.00	3.03000		SELL ONLY
Natixis Funds	Mirova U.S. Sustainable Equity Fund Class	63872R319	MUSNX			.00	1.88000		SELL ONLY
Natixis Funds	Mirova U.S. Sustainable Equity Fund Class	63872R293	MUSYX			.00	2.03000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Oakmark Internation	63872R624	NOIAX	5.75		.25	1.36000		BUY,SELL
Natixis Funds	Natixis Funds Trust I Oakmark Internation	63872R616	NOICX		1.00	1.00	2.11000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Oakmark Internation	63872R418	NIONX			.00	1.17000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Oakmark Internation	63872R426	NOIYX			.00	1.11000		SELL ONLY
Natixis Funds	Natixis Funds Trust I U.S. Equity Opportun	63872R871	NEFSX	5.75		.25	1.17000		SELL ONLY
Natixis Funds	Natixis Funds Trust I U.S. Equity Opportun	63872R855	NECCX		1.00	1.00	1.92000		SELL ONLY
Natixis Funds	Natixis Funds Trust I U.S. Equity Opportun	63872R384	NESNX			.00	1.13000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		Gross		Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Natixis Funds	Natixis Funds Trust I U.S. Equity Opportun	63872R848	NESYX			.00	0.92000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Vaughan Nelson Sm	63872R756	NEFJX	5.75		.25	1.48000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Vaughan Nelson Sm	63872R731	NEJCX		1.00	1.00	2.23000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Vaughan Nelson Sm	63872R376	VSCNX			.00	6.49000		SELL ONLY
Natixis Funds	Natixis Funds Trust I Vaughan Nelson Sm	63872R723	NEJYX			.00	1.23000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Oakmark Fund Clas	63872T109	NEFOX	5.75		.25	1.20000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Oakmark Fund Clas	63872T307	NECOX		1.00	1.00	1.95000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Oakmark Fund Clas	63873P791	NOANX			.00	1.05000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Oakmark Fund Clas	63872T406	NEOYX			.00	0.95000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Vaughan Nelson Mid	63872T844	VNVAX	5.75		.25	1.24000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Vaughan Nelson Mid	63872T836	VNVCX		1.00	1.00	1.99000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Vaughan Nelson Mid	63872T430	VNVNX			.00	0.89000		SELL ONLY
Natixis Funds	Natixis Funds Trust II Vaughan Nelson Mid	63872T828	VNVYX			.00	0.99000		SELL ONLY
Natixis Funds	Natixis Funds Trust IV AEW Global Focus	63872W102	NRFAX	5.75		.25	1.55000		SELL ONLY
Natixis Funds	Natixis Funds Trust IV AEW Global Focus	63872W300	NRCFX		1.00	1.00	2.30000		SELL ONLY
Natixis Funds	Natixis Funds Trust IV AEW Global Focus	63872W508	NRFNX			.00	1.17000		SELL ONLY
Natixis Funds	Natixis Funds Trust IV AEW Global Focus	63872W409	NRFYX			.00	1.30000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2015 Fund Clas	63872W607	NSFBX			.00	2.87000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2020 Fund Clas	63872W706	NSFDX			.00	3.66000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2025 Fund Clas	63872W805	NSFEX			.00	2.80000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2030 Fund Clas	63872W888	NSFFX			.00	2.68000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2035 Fund Clas	63872W870	NSFGX			.00	2.85000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2040 Fund Clas	63872W862	NSFHX			.00	3.18000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2045 Fund Clas	63872W854	NSFJX			.00	3.42000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2050 Fund Clas	63872W847	NSFKX			.00	3.79000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2055 Fund Clas	63872W839	NSFLX			.00	4.27000		SELL ONLY
Natixis Funds	Natixis Sustainable Future 2060 Fund Clas	63872W821	NSFMX			.00	5.05000		SELL ONLY
Natixis Funds	Natixis Vaughan Nelson Select Fund Class	63872T513	VNSAX	5.75		.25	1.18000		SELL ONLY
Natixis Funds	Natixis Vaughan Nelson Select Fund Class	63872T497	VNSCX		1.00	1.00	1.93000		SELL ONLY
Natixis Funds	Natixis Vaughan Nelson Select Fund Class	63873P841	VNSNX			.00	71.85000		SELL ONLY
Natixis Funds	Natixis Vaughan Nelson Select Fund Class	63872T489	VNSYX			.00	0.93000		SELL ONLY
Natixis Funds	NIF (Dublin) I Loomis Sayles High Income	543488761	LSHNX			.00	0.88000		SELL ONLY
Neuberger Berman	Neuberger Berman Absolute Return Multi-	64128R871	NABAX	5.75		.25	3.29000		SELL ONLY
Neuberger Berman	Neuberger Berman Absolute Return Multi-	64128R863	NABCX		1.00	1.00	3.89000		SELL ONLY
Neuberger Berman	Neuberger Berman Absolute Return Multi-	64128R749	NRABX				2.66000		SELL ONLY
Neuberger Berman	Neuberger Berman Absolute Return Multi-	64128R855	NABIX				2.76000		SELL ONLY
Neuberger Berman	Neuberger Berman Commodity Strategy F	64128R707	NRBAX	5.75		.25	1.37000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Neuberger Berman	Neuberger Berman Commodity Strategy F	64128R889	NRBIX				1.00000		SELL ONLY
Neuberger Berman	Neuberger Berman Core Bond Fund Class	64128K207	NCRAX	4.25		.25	0.83000		SELL ONLY
Neuberger Berman	Neuberger Berman Core Bond Fund Class	64128K306	NCRCX		1.00	1.00	1.58000		SELL ONLY
Neuberger Berman	Neuberger Berman Core Bond Fund Institu	64128K405	NCRLX				0.45000		SELL ONLY
Neuberger Berman	Neuberger Berman Core Bond Fund Inves	64128K504	NCRIX			.25	0.97000		SELL ONLY
Neuberger Berman	Neuberger Berman Dividend Growth Fund	64122Q325	NDGAX	5.75		.25	1.62000		SELL ONLY
Neuberger Berman	Neuberger Berman Dividend Growth Fund	64122Q317	NDGCX		1.00	1.00	2.28000		SELL ONLY
Neuberger Berman	Neuberger Berman Dividend Growth Fund	64122Q291	NDGIX				1.17000		SELL ONLY
Neuberger Berman	Neuberger Berman Dividend Growth Fund	64122Q283	NRDGX				1.18000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Det	64128K553	NERAX	4.25		.25	1.42000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Det	64128K546	NERCX		1.00	1.00	2.16000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Det	64128K538	NERIX				1.02000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Equ	641224431	NEMAX	5.75		.25	1.60000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Equ	641224423	NEMCX		1.00	1.00	2.34000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Equ	64122Q804	NEMRX			.50	1.98000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Equ	64122Q549	NREMX				1.16000		SELL ONLY
Neuberger Berman	Neuberger Berman Emerging Markets Equ	641224415	NEMIX				1.26000		SELL ONLY
Neuberger Berman	Neuberger Berman Equity Income Fund C	641224522	NBHAX	5.75		.25	1.06000		BUY,SELL
Neuberger Berman	Neuberger Berman Equity Income Fund C	641224514	NBHCX		1.00	1.00	1.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Equity Income Fund C	64122Q887	NBHRX			.50	1.34000		SELL ONLY
Neuberger Berman	Neuberger Berman Equity Income Fund In	641224498	NBHIX				0.70000		SELL ONLY
Neuberger Berman	Neuberger Berman Floating Rate Income	64128K728	NFIAX	4.25		.25	1.24000		SELL ONLY
Neuberger Berman	Neuberger Berman Floating Rate Income	64128K710	NFICX		1.00	1.00	1.96000		SELL ONLY
Neuberger Berman	Neuberger Berman Floating Rate Income	64128K694	NFIIX				0.84000		SELL ONLY
Neuberger Berman	Neuberger Berman Focus Fund Advisor C	64122M209	NBFAX			.25	1.27000		SELL ONLY
Neuberger Berman	Neuberger Berman Focus Fund Class A	64122Q879	NFAAX	5.75		.25	1.13000		SELL ONLY
Neuberger Berman	Neuberger Berman Focus Fund Class C	64122Q861	NFACX		1.00	1.00	1.88000		SELL ONLY
Neuberger Berman	Neuberger Berman Focus Fund Institution	64122Q853	NFALX				0.76000		SELL ONLY
Neuberger Berman	Neuberger Berman Focus Fund Investor C	641224506	NBSSX				0.92000		SELL ONLY
Neuberger Berman	Neuberger Berman Focus Fund Trust Clas	640917506	NBFCX			.10	1.11000		SELL ONLY
Neuberger Berman	Neuberger Berman Genesis Fund Advisor	64122M605	NBGAX			.25	1.35000		SELL ONLY
Neuberger Berman	Neuberger Berman Genesis Fund Class R	64122Q531	NRGSX				0.75000		SELL ONLY
Neuberger Berman	Neuberger Berman Genesis Fund Institutio	641233200	NBGIX				0.84000		SELL ONLY
Neuberger Berman	Neuberger Berman Genesis Fund Investor	641224100	NBGNX				1.01000		SELL ONLY
Neuberger Berman	Neuberger Berman Genesis Fund Trust Cl	640917100	NBGEX				1.09000		SELL ONLY
Neuberger Berman	Neuberger Berman Global Allocation Fund	64128R103	NGLAX	5.75		.25	3.89000		SELL ONLY
Neuberger Berman	Neuberger Berman Global Allocation Fund	64128R202	NGLCX		1.00	1.00	4.61000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Neuberger Berman	Neuberger Berman Global Allocation Fund	64128R301	NGLIX				3.48000		SELL ONLY
Neuberger Berman	Neuberger Berman Global Real Estate Fund	64122Q440	NGRAX	5.75		.25	9.28000		SELL ONLY
Neuberger Berman	Neuberger Berman Global Real Estate Fund	64122Q432	NGRCX		1.00	1.00	9.88000		SELL ONLY
Neuberger Berman	Neuberger Berman Global Real Estate Fund	64122Q424	NGRIX				8.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Greater China Equity Fund	64122Q481	NCEAX	5.75		.25	2.29000		SELL ONLY
Neuberger Berman	Neuberger Berman Greater China Equity Fund	64122Q473	NCECX		1.00	1.00	2.95000		SELL ONLY
Neuberger Berman	Neuberger Berman Greater China Equity Fund	64122Q465	NCEIX				1.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class A	641224340	NGDAX	5.75		.25	1.08000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class A	64122M308	NBGUX			.25	1.33000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class C	641224332	NGDCX		1.00	1.00	1.82000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class I	641224290	NGDLX				0.70000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class I	641224209	NGUAX				0.87000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class F	641224316	NGDRX			.50	1.37000		SELL ONLY
Neuberger Berman	Neuberger Berman Guardian Fund Class T	640917209	NBGTX			.10	1.05000		SELL ONLY
Neuberger Berman	Neuberger Berman High Income Bond Fund	64128K702	NHIAX	4.25		.25	1.13000		BUY,SELL
Neuberger Berman	Neuberger Berman High Income Bond Fund	64128K801	NHICX		1.00	1.00	1.83000		SELL ONLY
Neuberger Berman	Neuberger Berman High Income Bond Fund	64128K876	NHIRX			.50	1.35000		SELL ONLY
Neuberger Berman	Neuberger Berman High Income Bond Fund	64128K579	NRHIX				0.59000		SELL ONLY
Neuberger Berman	Neuberger Berman High Income Bond Fund	64128K868	NHILX				0.70000		SELL ONLY
Neuberger Berman	Neuberger Berman High Income Bond Fund	64128K850	NHINX				0.86000		SELL ONLY
Neuberger Berman	Neuberger Berman Integrated Large Cap Fund	64122Q663	NGQAX	5.75		.25	9.15000		SELL ONLY
Neuberger Berman	Neuberger Berman Integrated Large Cap Fund	64122Q655	NGQCX		1.00	1.00	9.79000		SELL ONLY
Neuberger Berman	Neuberger Berman Integrated Large Cap Fund	64122Q648	NGQIX				8.67000		SELL ONLY
Neuberger Berman	Neuberger Berman International Equity Fund	64122Q598	NIQAX	5.75		.25	1.35000		SELL ONLY
Neuberger Berman	Neuberger Berman International Equity Fund	64122Q580	NIQCX		1.00	1.00	2.10000		SELL ONLY
Neuberger Berman	Neuberger Berman International Equity Fund	64122Q457	NRIQX				0.88000		SELL ONLY
Neuberger Berman	Neuberger Berman International Equity Fund	641224811	NBIIX				0.98000		SELL ONLY
Neuberger Berman	Neuberger Berman International Equity Fund	64122Q564	NIQVX				1.19000		SELL ONLY
Neuberger Berman	Neuberger Berman International Equity Fund	64122Q556	NIQTX				1.24000		SELL ONLY
Neuberger Berman	Neuberger Berman International Select Fund	641224621	NBNAX	5.75		.25	1.31000		SELL ONLY
Neuberger Berman	Neuberger Berman International Select Fund	641224613	NBNCX		1.00	1.00	2.06000		SELL ONLY
Neuberger Berman	Neuberger Berman International Select Fund	641224761	NILIX				0.94000		SELL ONLY
Neuberger Berman	Neuberger Berman International Select Fund	641224274	NBNRX			.50	1.57000		SELL ONLY
Neuberger Berman	Neuberger Berman International Select Fund	64122Q333	NRILX				0.84000		SELL ONLY
Neuberger Berman	Neuberger Berman International Select Fund	641224753	NILTX			.10	1.41000		SELL ONLY
Neuberger Berman	Neuberger Berman International Small Cap	64122Q275	NIOAX	5.75		.25	6.40000		SELL ONLY
Neuberger Berman	Neuberger Berman International Small Cap	64122Q267	NIOCX		1.00	1.00	6.94000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Ratio	Expense	Fee	
Neuberger Berman	Neuberger Berman International Small Cap	64122Q242	NIORX					5.72000		SELL ONLY
Neuberger Berman	Neuberger Berman International Small Cap	64122Q259	NIOIX					5.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Intrinsic Value Fund Cl	64122Q507	NINAX	5.75			.25	1.43000		SELL ONLY
Neuberger Berman	Neuberger Berman Intrinsic Value Fund Cl	64122Q606	NINCX		1.00	1.00		2.16000		SELL ONLY
Neuberger Berman	Neuberger Berman Intrinsic Value Fund In	64122Q705	NINLX					1.05000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	64122M506	NBPBX				.25	1.19000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	64122Q796	NPNAX	5.75			.25	1.06000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	64122Q788	NPNCX		1.00	1.00		1.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	64122Q770	NPNRX				.50	1.34000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	641224787	NBPIX					0.68000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	641224407	NPRTX					0.85000		SELL ONLY
Neuberger Berman	Neuberger Berman Large Cap Value Fund	640917407	NBPTX				.10	1.04000		SELL ONLY
Neuberger Berman	Neuberger Berman Long Short Fund Class	64128R400	NLSAX	5.75			.25	2.16000		SELL ONLY
Neuberger Berman	Neuberger Berman Long Short Fund Class	64128R509	NLSCX		1.00	1.00		2.91000		SELL ONLY
Neuberger Berman	Neuberger Berman Long Short Fund Instit	64128R608	NLSIX					1.80000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	64122M407	NBMBX				.25	1.20000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	641224266	NMGAX	5.75			.25	1.07000		BUY,SELL
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	641224258	NMGCX		1.00	1.00		1.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	641224233	NMGRX				.50	1.32000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	64122Q523	NRMGX					0.60000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	641224662	NBMLX					0.70000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	641224308	NMANX					0.88000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Growth Fund	640917308	NBMTX					0.95000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Intrinsic Value	64122Q739	NBRAX	5.75			.25	1.55000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Intrinsic Value	64122Q721	NBRCX		1.00	1.00		2.31000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Intrinsic Value	64122Q713	NBRRX				.50	1.80000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Intrinsic Value	640917886	NBREX				.10	1.54000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Intrinsic Value	641224779	NBRTX					1.19000		SELL ONLY
Neuberger Berman	Neuberger Berman Mid Cap Intrinsic Value	641224886	NBRVX					1.38000		SELL ONLY
Neuberger Berman	Neuberger Berman Multi-Cap Opportunitie	64122Q101	NMUAX	5.75			.25	1.14000		SELL ONLY
Neuberger Berman	Neuberger Berman Multi-Cap Opportunitie	64122Q200	NMUCX		1.00	1.00		1.88000		SELL ONLY
Neuberger Berman	Neuberger Berman Multi-Cap Opportunitie	64122Q309	NMULX					0.76000		SELL ONLY
Neuberger Berman	Neuberger Berman Municipal High Income	64128K454	NMHAX	4.25			.25	1.24000		SELL ONLY
Neuberger Berman	Neuberger Berman Municipal High Income	64128K447	NMHCX		1.00	1.00		1.94000		SELL ONLY
Neuberger Berman	Neuberger Berman Municipal High Income	64128K439	NMHIX					0.81000		SELL ONLY
Neuberger Berman	Neuberger Berman Municipal Impact Fund	64128K587	NMIIX					0.93000		SELL ONLY
Neuberger Berman	Neuberger Berman Municipal Intermediate	64128K686	NMNAX	4.25			.25	0.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Neuberger Berman	Neuberger Berman Municipal Intermediate	64128K678	NMNCX		1.00	1.00	1.59000		SELL ONLY	
Neuberger Berman	Neuberger Berman Municipal Intermediate	64128K660	NMNLX				0.47000		SELL ONLY	
Neuberger Berman	Neuberger Berman Municipal Intermediate	64128K843	NMUIX				0.66000		SELL ONLY	
Neuberger Berman	Neuberger Berman Real Estate Fund Clas	64122Q762	NREAX	5.75		.25	1.41000		SELL ONLY	
Neuberger Berman	Neuberger Berman Real Estate Fund Clas	64122Q754	NRECX		1.00	1.00	2.17000		SELL ONLY	
Neuberger Berman	Neuberger Berman Real Estate Fund Clas	64122Q747	NRERX			.50	1.67000		SELL ONLY	
Neuberger Berman	Neuberger Berman Real Estate Fund Clas	64122Q515	NRREX				0.95000		SELL ONLY	
Neuberger Berman	Neuberger Berman Real Estate Fund Instit	641224795	NBRIX				1.04000		SELL ONLY	
Neuberger Berman	Neuberger Berman Real Estate Fund Trus	641224845	NBRFX			.10	1.41000		SELL ONLY	
Neuberger Berman	Neuberger Berman Short Duration Bond F	64128K652	NSHAX	2.50		.25	1.18000		SELL ONLY	
Neuberger Berman	Neuberger Berman Short Duration Bond F	64128K645	NSHCX		1.00	1.00	1.92000		SELL ONLY	
Neuberger Berman	Neuberger Berman Short Duration Bond F	64128K637	NSHLX				0.79000		SELL ONLY	
Neuberger Berman	Neuberger Berman Short Duration Bond F	64128K819	NSBIX				1.03000		SELL ONLY	
Neuberger Berman	Neuberger Berman Short Duration Bond F	64128K785	NSBTX				1.16000		SELL ONLY	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	641224829	NBMVX			.25	1.71000		SELL ONLY	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	641224225	NSNAX	5.75		.25	1.61000		BUY,SELL	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	641224217	NSNCX		1.00	1.00	2.31000		SELL ONLY	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	641224183	NSNRX			.50	1.86000		SELL ONLY	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	641224530	NBSMX				1.19000		SELL ONLY	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	641224803	NBMIX				1.42000		SELL ONLY	
Neuberger Berman	Neuberger Berman Small Cap Growth Fur	640917803	NBMOX			.10	1.55000		SELL ONLY	
Neuberger Berman	Neuberger Berman Strategic Income Fund	64128K777	NSTAX	4.25		.25	1.00000		SELL ONLY	
Neuberger Berman	Neuberger Berman Strategic Income Fund	64128K769	NSTCX		1.00	1.00	1.74000		SELL ONLY	
Neuberger Berman	Neuberger Berman Strategic Income Fund	64128K561	NRSIX				0.52000		SELL ONLY	
Neuberger Berman	Neuberger Berman Strategic Income Fund	64128K751	NSTLX				0.61000		SELL ONLY	
Neuberger Berman	Neuberger Berman Strategic Income Fund	64128K744	NSTTX			.10	1.02000		SELL ONLY	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	641224175	NRAAX	5.75		.25	1.05000		BUY,SELL	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	641224167	NRACX		1.00	1.00	1.80000		SELL ONLY	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	641224142	NRARX			.50	1.30000		SELL ONLY	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	64122Q499	NRSRX				0.59000		SELL ONLY	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	641224654	NBSLX				0.68000		SELL ONLY	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	641224605	NBSRX				0.87000		SELL ONLY	
Neuberger Berman	Neuberger Berman Sustainable Equity Fur	640917860	NBSTX			.10	1.03000		SELL ONLY	
Neuberger Berman	Neuberger Berman U.S. Equity Index PutV	64128R582	NUPAX	5.75		.25	1.11000		SELL ONLY	
Neuberger Berman	Neuberger Berman U.S. Equity Index PutV	64128R574	NUPCX		1.00	1.00	1.89000		SELL ONLY	
Neuberger Berman	Neuberger Berman U.S. Equity Index PutV	64128R558	NUPRX				0.65000		SELL ONLY	
Neuberger Berman	Neuberger Berman U.S. Equity Index PutV	64128R566	NUPIX				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		
New Alternatives	New Alternatives Fund Class A	641868104	NALFX	3.50			0.96000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class A	56063U190	MBNAX	3.00		.25	1.09000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class B	56063U182	MBNBX		5.00	1.00	2.11000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class C	56063U174	MBACX		1.00	1.00	2.11000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class I	56063U166	MBAIX				0.84000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class R1	56063U158	MBNRX				0.94000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class R2	56063U141	MBCRX			.25	1.19000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class R3	56063U133	MBDRX			.50	1.44000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Class R6	56064L496	MBERX				0.74000		SELL ONLY
New York Life Investme	MainStay Balanced Fund Investor Class	56063U117	MBINX	2.50		.25	1.36000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets De	56062F475	MGHAX	4.50		.25	1.33000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets De	56062F467	MGHBX		5.00	1.00	2.40000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets De	56062F244	MHYCX		1.00	1.00	2.40000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets De	56062X559	MGHIX				1.07000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets De	56062X492	MGHHX	4.00		.25	1.66000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets Eq	56064L561	MCYAX	5.50		.25	2.00000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets Eq	56064L546	MCYCX		1.00	1.00	2.78000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets Eq	56064L538	MCYIX				1.79000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets Eq	56064L520	MCYSX				1.53000		SELL ONLY
New York Life Investme	MainStay Candriam Emerging Markets Eq	56064L553	MCYVX	5.00		.25	2.03000		SELL ONLY
New York Life Investme	MainStay CBRE Global Infrastructure Fund	56064L330	VCRAX	5.50		.25	1.35000		SELL ONLY
New York Life Investme	MainStay CBRE Global Infrastructure Fund	56064L314	VCRCX		1.00	1.00	2.51000		SELL ONLY
New York Life Investme	MainStay CBRE Global Infrastructure Fund	56064L298	VCRIX				1.10000		SELL ONLY
New York Life Investme	MainStay CBRE Global Infrastructure Fund	56064L280	VCRQX				1.02000		SELL ONLY
New York Life Investme	MainStay CBRE Global Infrastructure Fund	56064L322	VCRVX	5.50		.25	1.76000		SELL ONLY
New York Life Investme	MainStay CBRE Real Estate Fund Class A	56064L272	CLARX	5.50		.25	1.45000		SELL ONLY
New York Life Investme	MainStay CBRE Real Estate Fund Class C	56064L256	CRCRX			1.00	2.09000		SELL ONLY
New York Life Investme	MainStay CBRE Real Estate Fund Class I	56064L249	CRARX				1.20000		SELL ONLY
New York Life Investme	MainStay CBRE Real Estate Fund Class F	56064L231	CRWRX			.50	1.80000		SELL ONLY
New York Life Investme	MainStay CBRE Real Estate Fund Class F	56064L223	VREQX				0.84000		SELL ONLY
New York Life Investme	MainStay CBRE Real Estate Fund Investo	56064L264	CRVRX	5.00		.25	1.34000		SELL ONLY
New York Life Investme	MainStay Conservative Allocation Fund Cla	56063U208	MCKAX	3.00			0.97000		SELL ONLY
New York Life Investme	MainStay Conservative Allocation Fund Cla	56063U307	MCKBX		5.00		0.68000		SELL ONLY
New York Life Investme	MainStay Conservative Allocation Fund Cla	56063U406	MCKCX		1.00	1.00	1.96000		SELL ONLY
New York Life Investme	MainStay Conservative Allocation Fund Cla	56063U505	MCKIX				0.72000		SELL ONLY
New York Life Investme	MainStay Conservative Allocation Fund Cla	56064L462	MCKKX			.25	1.07000		SELL ONLY
New York Life Investme	MainStay Conservative Allocation Fund Cla	56064B316	MCKRX			.50	1.32000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
New York Life Investme	MainStay Conservative Allocation Fund Inv	56063U109	MCKNX	3.00			.25	1.21000		SELL ONLY
New York Life Investme	MainStay Conservative ETF Allocation Fur	56065F605	MNEAX	3.00			.25	1.33000		SELL ONLY
New York Life Investme	MainStay Conservative ETF Allocation Fur	56065F803	MNEKX		1.00	1.00		2.08000		SELL ONLY
New York Life Investme	MainStay Conservative ETF Allocation Fur	56065F886	MNELX					1.08000		SELL ONLY
New York Life Investme	MainStay Conservative ETF Allocation Fur	56065F878	MNERX				.50	1.68000		SELL ONLY
New York Life Investme	MainStay Cushing? MLP Premier Fund Cla	56064B563	CSHAX	5.50			.25	1.60000		SELL ONLY
New York Life Investme	MainStay Cushing? MLP Premier Fund Cla	56064B548	CSHCX		1.00	1.00		2.39000		SELL ONLY
New York Life Investme	MainStay Cushing? MLP Premier Fund Cla	56064B530	CSHZX					1.35000		SELL ONLY
New York Life Investme	MainStay Cushing? MLP Premier Fund Inv	56064B555	CSHNX	5.00			.25	1.64000		SELL ONLY
New York Life Investme	MainStay Defensive ETF Allocation Fund C	56065F100	MDNAX	3.00			.25	1.33000		SELL ONLY
New York Life Investme	MainStay Defensive ETF Allocation Fund C	56065F308	MDNCX		1.00	1.00		2.08000		SELL ONLY
New York Life Investme	MainStay Defensive ETF Allocation Fund C	56065F407	MDNIX					1.08000		SELL ONLY
New York Life Investme	MainStay Defensive ETF Allocation Fund C	56065F506	MDNRX				.50	1.68000		SELL ONLY
New York Life Investme	MainStay Epoch Capital Growth Fund Clas	56063N824	MECDX	5.50			.25	1.16000		SELL ONLY
New York Life Investme	MainStay Epoch Capital Growth Fund Clas	56063N790	MECEX		1.00	1.00		2.11000		SELL ONLY
New York Life Investme	MainStay Epoch Capital Growth Fund Clas	56063N782	MECFX					0.93000		SELL ONLY
New York Life Investme	MainStay Epoch Capital Growth Fund Inve	56063N816	MECVX	5.00			.25	1.36000		SELL ONLY
New York Life Investme	MainStay Epoch Global Equity Yield Fund	56063J880	EPSPX	5.50			.25	1.14000		SELL ONLY
New York Life Investme	MainStay Epoch Global Equity Yield Fund	56063J872	EPSKX		1.00	1.00		1.88000		SELL ONLY
New York Life Investme	Mainstay Epoch Global Equity Yield Fund C	56063J864	EPSYX					0.89000		SELL ONLY
New York Life Investme	MainStay Epoch Global Equity Yield Fund	56064B571	EPSZX				.25	1.24000		SELL ONLY
New York Life Investme	MainStay Epoch Global Equity Yield Fund	56064B266	EPSHX				.50	1.49000		SELL ONLY
New York Life Investme	MainStay Epoch Global Equity Yield Fund	56064B647	EPSRX					0.76000		SELL ONLY
New York Life Investme	MainStay Epoch Global Equity Yield Fund	56063J856	EPSIX	5.00			.25	1.13000		SELL ONLY
New York Life Investme	MainStay Epoch International Choice Fund	56063J732	ICEVX	5.50			.25	1.20000		BUY,SELL
New York Life Investme	MainStay Epoch International Choice Fund	56063J724	ICEWX		1.00	1.00		2.21000		SELL ONLY
New York Life Investme	MainStay Epoch International Choice Fund	56063J716	ICEUX					0.95000		SELL ONLY
New York Life Investme	MainStay Epoch International Choice Fund	56063J690	ICETX					1.05000		SELL ONLY
New York Life Investme	MainStay Epoch International Choice Fund	56063J682	ICEYX				.25	1.30000		SELL ONLY
New York Life Investme	MainStay Epoch International Choice Fund	56063J674	ICEZX				.50	1.55000		SELL ONLY
New York Life Investme	MainStay Epoch International Choice Fund	56063J740	ICELX	5.00			.25	1.46000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56063J104	EPLPX	5.50			.25	1.09000		BUY,SELL
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56064L637	EPLBX		5.00	1.00		2.13000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56063J203	EPLKX		1.00	1.00		2.13000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56063J302	EPLCX					0.84000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56064L629	EPLRX					0.94000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56064L611	EPLSX				.25	1.19000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56064L595	EPLTX			.50	1.44000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund Cl	56064L702	EPLDX				0.74000		SELL ONLY
New York Life Investme	MainStay Epoch U.S. Equity Yield Fund In	56063J401	EPLIX	5.00		.25	1.38000		SELL ONLY
New York Life Investme	MainStay Equity Allocation Fund Class A	56063U703	MGXAX	3.00		.25	1.13000		SELL ONLY
New York Life Investme	MainStay Equity Allocation Fund Class B	56063U802	MGXBX		5.00	1.00	2.19000		SELL ONLY
New York Life Investme	MainStay Equity Allocation Fund Class C	56063U885	MGXCX		1.00	1.00	2.19000		SELL ONLY
New York Life Investme	MainStay Equity Allocation Fund Class I	56063U877	MGXIX				0.88000		SELL ONLY
New York Life Investme	MainStay Equity Allocation Fund Class R3	56064B290	MGXRX			.50	1.48000		SELL ONLY
New York Life Investme	MainStay Equity Allocation Fund Investor C	56063U604	MGXNX	3.00		.25	1.44000		SELL ONLY
New York Life Investme	MainStay Equity ETF Allocation Fund Clas	56065F753	MWFAX			.25	1.33000		SELL ONLY
New York Life Investme	MainStay Equity ETF Allocation Fund Clas	56065F738	MWFCX			1.00	2.08000		SELL ONLY
New York Life Investme	MainStay Equity ETF Allocation Fund Clas	56065F720	MWFIX				1.08000		SELL ONLY
New York Life Investme	MainStay Equity ETF Allocation Fund Clas	56065F712	MWFQX			.50	1.68000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Class A	56063J377	MXFAX	3.00		.25	1.14000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Class B	56063J369	MXFBX		3.00	1.00	1.88000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Class C	56063J351	MXFCX		1.00	1.00	1.88000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Class I	56063J344	MXFIX				0.89000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Class R3	56064B241	MXFHX			.50	1.49000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Class R6	56064L793	MXFEX				0.66000		SELL ONLY
New York Life Investme	MainStay Floating Rate Fund Investor Clas	56063J385	MXFNX	2.50		.25	1.13000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Class Class R	56064B274	MGDRX			.50	1.42000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Class A	56063U794	MGDAX	3.00		.50	1.42000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Class B	56063U786	MGDBX		5.00	.50	1.42000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Class C	56063U778	MGDCX		1.00	1.00	2.12000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Class I	56063U760	MGDIX				0.82000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Class R	56064L439	MGDJX				0.92000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Class R2	56064L421	MGDKX			.25	1.17000		SELL ONLY
New York Life Investme	MainStay Growth Allocation Fund Investor	56063U810	MGDNX	3.00		.25	1.37000		SELL ONLY
New York Life Investme	MainStay Growth ETF Allocation Fund Cla	56065F811	MOEAX			.25	1.35000		SELL ONLY
New York Life Investme	MainStay Growth ETF Allocation Fund Cla	56065F787	MOECX			1.00	2.10000		SELL ONLY
New York Life Investme	MainStay Growth ETF Allocation Fund Cla	56065F779	MOEIX				1.10000		SELL ONLY
New York Life Investme	MainStay Growth ETF Allocation Fund Cla	56065F761	MOERX			.50	1.70000		SELL ONLY
New York Life Investme	MainStay Income Builder Fund Class A	56062F798	MTRAX	3.00		.25	1.03000		BUY,SELL
New York Life Investme	MainStay Income Builder Fund Class B	56062F889	MKTRX		5.00	1.00	1.93000		SELL ONLY
New York Life Investme	MainStay Income Builder Fund Class C	56062F426	MCTRX		1.00	1.00	1.93000		SELL ONLY
New York Life Investme	MainStay Income Builder Fund Class I	56062X849	MTOIX				0.78000		SELL ONLY
New York Life Investme	MainStay Income Builder Fund Class R2	56062X336	MTXRX			.25	1.12000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
New York Life Investme	MainStay Income Builder Fund Class R3	56063N840	MTXVX				.50	1.38000		SELL ONLY
New York Life Investme	MainStay Income Builder Fund Class R6	56063N683	MTODX					0.68000		SELL ONLY
New York Life Investme	MainStay Income Builder Fund Investor Cl	56062X369	MTINX	2.50			.25	1.18000		SELL ONLY
New York Life Investme	MainStay MacKay California Tax Free Opp	56064B696	MSCAX	4.50			.25	0.75000		SELL ONLY
New York Life Investme	MainStay MacKay California Tax Free Opp	56064B688	MSCCX		1.00		.50	1.02000		SELL ONLY
New York Life Investme	MainStay MacKay California Tax Free Opp	56064B670	MCOIX					0.50000		SELL ONLY
New York Life Investme	MainStay MacKay California Tax Free Opp	56064L769	MSODX					0.48000		SELL ONLY
New York Life Investme	MainStay MacKay California Tax Free Opp	56064B712	MSCVX	4.00			.25	0.77000		SELL ONLY
New York Life Investme	MainStay MacKay Convertible Fund Class	56062F780	MCOAX	5.50			.25	0.96000		SELL ONLY
New York Life Investme	MainStay MacKay Convertible Fund Class	56062F301	MCSVX		5.00		1.00	1.91000		SELL ONLY
New York Life Investme	MainStay MacKay Convertible Fund Class	56062F434	MCCVX		1.00		1.00	1.91000		SELL ONLY
New York Life Investme	MainStay MacKay Convertible Fund Class	56063N600	MCNVX					0.71000		SELL ONLY
New York Life Investme	MainStay MacKay Convertible Fund Invest	56062X526	MCINX	5.00			.25	1.16000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56062F772	MHCAX	4.50			.25	0.99000		BUY,SELL
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56062F400	MKHCX		5.00		1.00	1.83000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56062F376	MYHCX		1.00		1.00	1.83000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56062X708	MHYIX					0.74000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56062X344	MHHRX					0.84000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56063N501	MHYRX				.25	1.09000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56063N857	MHYTX				.50	1.34000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56063N881	MHYSX					0.60000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Corporate Bd	56062X476	MHHIX	4.00			.25	1.08000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Municipal Bo	56063U539	MMHDX		1.00		1.00	1.62000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Municipal Bo	56063U521	MMHIX					0.61000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Municipal Bo	56064L751	MMHEX					0.56000		SELL ONLY
New York Life Investme	MainStay MacKay High Yield Municipal Bo	56063U554	MMHVX	4.00			.25	0.87000		SELL ONLY
New York Life Investme	MainStay MacKay Intermediate Tax Free B	56064L389	MTFDX	4.50			.25	0.98000		SELL ONLY
New York Life Investme	MainStay MacKay Intermediate Tax Free B	56064L363	MTFFX		1.00		.50	1.49000		SELL ONLY
New York Life Investme	MainStay MacKay Intermediate Tax Free B	56064L355	MTFGX					0.76000		SELL ONLY
New York Life Investme	MainStay MacKay Intermediate Tax Free B	56064L348	MTFHX					0.77000		SELL ONLY
New York Life Investme	MainStay MacKay Intermediate Tax Free B	56064L371	MTFEX	4.50			.25	1.24000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062F681	MSEAX	5.50			.25	1.40000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062F830	MINEX		5.00		1.00	2.50000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062F442	MIECX		1.00		1.00	2.50000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062X807	MSIIX					1.15000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062X880	MIERX					1.25000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062X872	MIRRX				.25	1.50000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
New York Life Investme	MainStay MacKay International Equity Fun	56062X575	MIFRX				.50	1.75000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56063N758	MIFDX					1.02000		SELL ONLY
New York Life Investme	MainStay MacKay International Equity Fun	56062X468	MINNX	5.00			.25	1.75000		SELL ONLY
New York Life Investme	MainStay MacKay New York Tax Free Opp	56063U232	MNOCX		1.00		.50	1.02000		SELL ONLY
New York Life Investme	MainStay MacKay New York Tax Free Opp	56063U224	MNOIX					0.50000		SELL ONLY
New York Life Investme	MainStay MacKay New York Tax Free Opp	56064L744	MNODX					0.48000		SELL ONLY
New York Life Investme	MainStay MacKay New York Tax Free Opp	56063U216	MNOVX	4.00			.25	0.77000		SELL ONLY
New York Life Investme	MainStay MacKay S&P 500 Index Fund Cl	56063J179	MSXAX	1.50			.25	0.54000		SELL ONLY
New York Life Investme	MainStay MacKay S&P 500 Index Fund Cl	56063J161	MSPIX					0.29000		SELL ONLY
New York Life Investme	MainStay MacKay S&P 500 Index Fund Inv	56063J187	MYSPX	1.00			.25	0.88000		SELL ONLY
New York Life Investme	MainStay MacKay Short Duration High Yie	56064B753	MDHAX	3.00			.25	1.04000		BUY,SELL
New York Life Investme	MainStay MacKay Short Duration High Yie	56064B746	MDHCX		1.00		1.00	1.88000		SELL ONLY
New York Life Investme	MainStay MacKay Short Duration High Yie	56064B738	MDHIX					0.79000		SELL ONLY
New York Life Investme	MainStay MacKay Short Duration High Yie	56064B720	MDHRX				.25	1.14000		SELL ONLY
New York Life Investme	MainStay MacKay Short Duration High Yie	56064B233	MDHTX				.50	1.39000		SELL ONLY
New York Life Investme	MainStay MacKay Short Duration High Yie	56064B761	MDHVX	2.50			.25	1.13000		SELL ONLY
New York Life Investme	MainStay MacKay Short Term Municipal F	56063J146	MSTAX	1.00			.25	0.65000		SELL ONLY
New York Life Investme	MainStay MacKay Short Term Municipal F	56063J138	MSTIX					0.40000		SELL ONLY
New York Life Investme	MainStay MacKay Short Term Municipal F	56063J153	MYTBX	1.00			.25	1.25000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56062F657	MASAX	4.50			.25	1.19000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56062F640	MASBX		5.00		1.00	2.01000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56062F350	MSICX		1.00		1.00	2.01000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56062X500	MSDIX					0.95000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56063N873	MSIRX				.25	1.30000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56063N832	MSDJX				.50	1.53000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Cla	56063N725	MSYEX					0.83000		SELL ONLY
New York Life Investme	MainStay MacKay Strategic Bond Fund Inv	56062X518	MSYDX	4.00			.25	1.25000		SELL ONLY
New York Life Investme	MainStay MacKay Tax Free Bond Fund Cl	56062F806	MKTBX		5.00		.50	1.01000		SELL ONLY
New York Life Investme	MainStay MacKay Tax Free Bond Fund Cl	56062F327	MTFCX		1.00		.50	1.01000		SELL ONLY
New York Life Investme	MainStay MacKay Tax Free Bond Fund Cl	56063N709	MTBIX					0.50000		SELL ONLY
New York Life Investme	MainStay MacKay Tax Free Bond Fund Cl	56063N717	MTBDX					0.44000		SELL ONLY
New York Life Investme	MainStay MacKay Tax Free Bond Fund Inv	56062X377	MKINX	4.00			.25	0.76000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56063J237	MTMAX	4.50			.25	0.85000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56063J229	MTMBX		5.00		1.00	1.80000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56063J211	MTMCX		1.00		1.00	1.80000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56063J195	MTMIX					0.60000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56064B506	MTMRX					0.49000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
New York Life Investme	MainStay MacKay Total Return Bond Fund	56064B605	MTRTX			.25	0.95000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56064B225	MTRVX			.50	1.20000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56064B431	MTRDX				0.53000		SELL ONLY
New York Life Investme	MainStay MacKay Total Return Bond Fund	56063J245	MTMNX	4.00		.25	1.05000		SELL ONLY
New York Life Investme	MainStay MacKay U.S. Infrastructure Bond	56062F764	MGVAX	4.50		.25	0.98000		SELL ONLY
New York Life Investme	MainStay MacKay U.S. Infrastructure Bond	56062F509	MCSGX		5.00	1.00	2.03000		SELL ONLY
New York Life Investme	MainStay MacKay U.S. Infrastructure Bond	56062F384	MGVCX		1.00	1.00	2.03000		SELL ONLY
New York Life Investme	MainStay MacKay U.S. Infrastructure Bond	56062X609	MGOIX				0.73000		SELL ONLY
New York Life Investme	MainStay MacKay U.S. Infrastructure Bond	56062X484	MGVNX	4.00		.25	1.28000		SELL ONLY
New York Life Investme	MainStay MacKay U.S. Infrastructure Bond	56063N733	MGVDX				0.58000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Class R3	56064B282	MMRHX				0.70000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Fund Class	56063U851	MMRAX	3.00			1.00000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Fund Class	56063U844	MMRBX		5.00		0.70000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Fund Class	56063U836	MMRCX		1.00	1.00	2.05000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Fund Class	56063U828	MMRIX				0.75000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Fund Class	56064L447	MMRKX			.25	1.10000		SELL ONLY
New York Life Investme	MainStay Moderate Allocation Fund Invest	56063U869	MMRDX	3.00		.25	1.30000		SELL ONLY
New York Life Investme	MainStay Moderate ETF Allocation Fund C	56065F860	MDAAX			.25	1.33000		SELL ONLY
New York Life Investme	MainStay Moderate ETF Allocation Fund C	56065F845	MDAKX			1.00	2.08000		SELL ONLY
New York Life Investme	MainStay Moderate ETF Allocation Fund C	56065F837	MDAIX				1.08000		SELL ONLY
New York Life Investme	MainStay Moderate ETF Allocation Fund C	56065F829	MDARX			.50	1.68000		SELL ONLY
New York Life Investme	MainStay Short Term Bond Fund Class A	56063J260	MIXAX	1.00		.25	0.75000		SELL ONLY
New York Life Investme	MainStay Short Term Bond Fund Class I	56063J252	MIXIX				0.48000		SELL ONLY
New York Life Investme	MainStay Short Term Bond Fund Class Inv	56063J278	MIXNX	0.50		.25	1.22000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X674	MLAAX	5.50		.25	0.97000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X666	MLABX		5.00	1.00	1.85000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X658	MLACX		1.00	1.00	1.85000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X641	MLAIX				0.72000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X633	MLRRX				0.82000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X625	MLRTX			.25	1.07000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X617	MLGRX			.50	1.32000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56063N808	MLRSX				0.64000		SELL ONLY
New York Life Investme	MainStay Winslow Large Cap Growth Fund	56062X450	MLINX	5.00		.25	1.10000		SELL ONLY
New York Life Investme	MainStay WMC Enduring Capital Fund Cla	56062F541	MSOAX	5.50		.25	0.95000		SELL ONLY
New York Life Investme	MainStay WMC Enduring Capital Fund Cla	56062F533	MOPBX		5.00	1.00	1.90000		SELL ONLY
New York Life Investme	MainStay WMC Enduring Capital Fund Cla	56062F269	MGOCX		1.00	1.00	1.90000		SELL ONLY
New York Life Investme	MainStay WMC Enduring Capital Fund Cla	56062X716	MSOIX				0.70000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
New York Life Investme	MainStay WMC Enduring Capital Fund Cla	56063N865	MSOSX				.50	1.30000		SELL ONLY
New York Life Investme	MainStay WMC Enduring Capital Fund Cla	56063N774	MCSDX					0.64000		SELL ONLY
New York Life Investme	MainStay WMC Enduring Capital Fund Inv	56062X534	MCSSX	5.00			.25	1.15000		SELL ONLY
New York Life Investme	MainStay WMC Growth Fund Class A	56064B829	KLGAX	5.50			.25	1.04000		BUY,SELL
New York Life Investme	MainStay WMC Growth Fund Class B	56064B811	KLGBX		5.00		1.00	2.15000		SELL ONLY
New York Life Investme	MainStay WMC Growth Fund Class C	56064B795	KLGCX		1.00		1.00	2.15000		SELL ONLY
New York Life Investme	MainStay WMC Growth Fund Class I	56064B787	KLGIX					0.79000		SELL ONLY
New York Life Investme	MainStay WMC Growth Fund Class R2	56064B779	KLGRX				.25	1.14000		SELL ONLY
New York Life Investme	MainStay WMC Growth Fund Class R6	56064L504	KLGDY					0.72000		SELL ONLY
New York Life Investme	MainStay WMC Growth Fund Investor Cla	56064B837	KLGNX	5.00			.25	1.41000		SELL ONLY
New York Life Investme	MainStay WMC International Research Eq	56063U653	MYITX	5.50			.25	1.20000		SELL ONLY
New York Life Investme	MainStay WMC International Research Eq	56063U646	MYICX		1.00		1.00	2.20000		SELL ONLY
New York Life Investme	MainStay WMC International Research Eq	56063U638	MYIIX					0.95000		SELL ONLY
New York Life Investme	MainStay WMC International Research Eq	56063U661	MYINX	5.00			.25	1.45000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B100	MOPAX	5.50			.25	1.25000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B209	MOTBX		5.00		1.00	2.45000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B308	MOPCX		1.00		1.00	2.45000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B407	MOPIX					1.00000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B704	MOPRX					1.10000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B803	MOTRX				.25	1.35000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund C	56064B258	MOVRX				.50	1.60000		SELL ONLY
New York Life Investme	MainStay WMC Small Companies Fund In	56063U125	MOINX	5.00			.25	1.70000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class A	56062F210	MAPAX	5.50			.25	1.00000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class B	56062F194	MAPBX		5.00		1.00	2.06000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class C	56062F186	MMPCX		1.00		1.00	2.06000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class I	56062F228	MUBFX					0.75000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class R1	56062X864	MAPRX					0.85000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class R2	56062X856	MPRRX				.25	1.10000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class R3	56062X591	MMAPX				.50	1.35000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Class R6	56063N766	MMPDX					0.70000		SELL ONLY
New York Life Investme	MainStay WMC Value Fund Investor Class	56062X443	MSMIX	5.00			.25	1.31000		SELL ONLY
Nicholas	Nicholas Equity Income Fund Class I	653734103	NSEIX					0.73000		SELL ONLY
Nicholas	Nicholas Fund	653735100	NICSX					0.72000		SELL ONLY
Nicholas	Nicholas II Fund Class I	653740100	NCTWX					0.60000		SELL ONLY
Nicholas	Nicholas II Fund Class N	653740209	NNTWX				.22	0.90000		SELL ONLY
Nicholas	Nicholas Limited Edition Fund Class Institu	653738104	NCLEX					0.86000		SELL ONLY
Nicholas	Nicholas Limited Edition Fund Class N	653738203	NNLEX				.16	1.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
North Square	North Square Multi Strategy Fund Class A	66263L700	ORILX	5.75		.25	2.85000		SELL ONLY
North Square	North Square Multi Strategy Fund Class I	66263L833	PORYX			.00	2.43000		SELL ONLY
North Square	North Square Oak Ridge All Cap Growth F	66263L601	ODGIX				1.89000		SELL ONLY
North Square	North Square Oak Ridge Dividend Growth	66263L882	ORDNX				1.90000		SELL ONLY
North Square	North Square Oak Ridge Dynamic Small C	66263L825	ORSIX				2.23000		SELL ONLY
North Square	North Square Oak Ridge Small Cap Growt	66263L304	ORIGX	5.75		.25	2.07000		SELL ONLY
North Square	North Square Oak Ridge Small Cap Growt	66263L858	ORIYX				1.79000		SELL ONLY
North Square	North Square Tactical Defensive Fund Cla	66263L718	ETFRX	5.75		.25	1.88000		SELL ONLY
North Square	North Square Tactical Defensive Fund Cla	66263L692	ETFZX		1.00	1.00	2.64000		SELL ONLY
North Square	North Square Tactical Defensive Fund Cla	66263L684	ETFWX				1.69000		SELL ONLY
North Square	North Square Tactical Growth Fund Class	66263L734	ETFAX	5.75		.25	1.70000		SELL ONLY
North Square	North Square Tactical Growth Fund Class	66263L742	ETFCX		1.00	1.00	2.47000		SELL ONLY
North Square	North Square Tactical Growth Fund Class	66263L726	ETFOX				1.50000		SELL ONLY
North Square	North Square Trilogy Alternative Return Fu	66263L650	STTGX	5.75		.25	1.83000		SELL ONLY
North Square	North Square Trilogy Alternative Return Fu	66263L668	STTCX		1.00	1.00	2.62000		SELL ONLY
North Square	North Square Trilogy Alternative Return Fu	66263L676	STTIX				1.66000		SELL ONLY
Northeast Investors	Northeast Investors Trust	664210101	NTHFX				1.71000		SELL ONLY
Northern Funds	Northern Active M Emerging Market Equity	665162483	NMMEX				1.25000	2.00	SELL ONLY
Northern Funds	Northern Active M International Equity Fun	665162558	NMIEX				0.92000	2.00	SELL ONLY
Northern Funds	Northern Arizona Tax-Exempt Fund	665162764	NOAZX				0.59000		SELL ONLY
Northern Funds	Northern Bond Index Fund	665162533	NOBOX				0.19000		SELL ONLY
Northern Funds	Northern California Intermediate Tax-Exem	665162749	NCITX				0.51000		SELL ONLY
Northern Funds	Northern California Tax-Exempt Fund	665162731	NCATX				0.56000		SELL ONLY
Northern Funds	Northern Core Bond Fund	665162376	NOCBX				0.48000		SELL ONLY
Northern Funds	Northern Emerging Markets Equity Index F	665162582	NOEMX				0.34000	2.00	SELL ONLY
Northern Funds	Northern Engage360? Fund	665162319	NENGX				0.77000	2.00	SELL ONLY
Northern Funds	Northern Fixed Income Fund	665162806	NOFIX				0.49000		SELL ONLY
Northern Funds	Northern Global Real Estate Index Fund	665162541	NGREX				0.48000	2.00	SELL ONLY
Northern Funds	Northern Global Sustainability Index Fund	665162277	NSRKX				0.27000	2.00	SELL ONLY
Northern Funds	Northern Global Tactical Asset Allocation F	665162392	BBALX				0.70000		SELL ONLY
Northern Funds	Northern High Yield Fixed Income Fund	665162699	NHFIX				0.83000	2.00	SELL ONLY
Northern Funds	Northern High Yield Municipal Fund	665162681	NHYMX				0.85000		SELL ONLY
Northern Funds	Northern Income Equity Fund	665162202	NOIEX				1.18000		SELL ONLY
Northern Funds	Northern Intermediate Tax-Exempt Fund	665162871	NOITX				0.49000		SELL ONLY
Northern Funds	Northern International Equity Fund	665162509	NOIGX				0.76000	2.00	SELL ONLY
Northern Funds	Northern International Equity Index Fund	665130209	NOINX				0.24000	2.00	SELL ONLY
Northern Funds	Northern Large Cap Core Fund	665162590	NOLCX				0.57000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1	Gross	Redemption	Buy/Sell Eligible
				Load	CDSC		Expense Ratio		
Northern Funds	Northern Large Cap Value Fund	665162632	NOLVX				0.89000		SELL ONLY
Northern Funds	Northern Mid Cap Index Fund	665130100	NOMIX				0.19000		SELL ONLY
Northern Funds	Northern Multi-Manager Emerging Markets	665162343	NMEDX				0.99000	2.00	SELL ONLY
Northern Funds	Northern Multi-Manager Global Listed Infra	665162384	NMFIK				0.97000	2.00	SELL ONLY
Northern Funds	Northern Multi-Manager Global Real Estate	665162475	NMMGX				1.04000	2.00	SELL ONLY
Northern Funds	Northern Multi-Manager High Yield Opport	665162442	NMHYX				0.96000	2.00	SELL ONLY
Northern Funds	Northern Short Bond Fund	665162368	BSBAX				0.45000		SELL ONLY
Northern Funds	Northern Short-Intermediate Tax-Exempt F	665162525	NSITX				0.51000		SELL ONLY
Northern Funds	Northern Short-Intermediate U.S. Governm	665162756	NSIUX				0.55000		SELL ONLY
Northern Funds	Northern Small Cap Core Fund Class K	665162293	NSCKX				0.57000		SELL ONLY
Northern Funds	Northern Small Cap Index Fund	665162723	NSIDX				0.19000		SELL ONLY
Northern Funds	Northern Small Cap Value Fund	665162400	NOSGX				1.13000		SELL ONLY
Northern Funds	Northern Stock Index Fund	665162772	NOSIX				0.13000		SELL ONLY
Northern Funds	Northern Tax-Advantaged Ultra-Short Fixe	665162459	NTAUX				0.27000		SELL ONLY
Northern Funds	Northern Tax-Exempt Fund	665162863	NOTEX				0.50000		SELL ONLY
Northern Funds	Northern U.S. Government Fund	665162889	NOUGX				0.58000		SELL ONLY
Northern Funds	Northern U.S. Treasury Index Fund	665162350	BTIAX				0.26000		SELL ONLY
Northern Funds	Northern Ultra-Short Fixed Income Fund	665162467	NUSFX				0.29000		SELL ONLY
Nuveen	Nuveen All-American Municipal Bond Fund	67065Q665	FACCX		1.00	1.00	1.49000		SELL ONLY
Nuveen	Nuveen All-American Municipal Bond Fund	67065Q855	FAARX			.00	0.49000		SELL ONLY
Nuveen	Nuveen All-American Municipal Bond Fund	67065Q566	FAAWX			.00	0.45000		SELL ONLY
Nuveen	Nuveen Arizona Municipal Bond Fund Clas	67065L633	FZCCX		1.00	1.00	1.64000		SELL ONLY
Nuveen	Nuveen Arizona Municipal Bond Fund Clas	67065L401	NMARX			.00	0.64000		SELL ONLY
Nuveen	Nuveen California High Yield Municipal Bo	67065N589	NCHAX	4.20		.20	1.09000		SELL ONLY
Nuveen	Nuveen California High Yield Municipal Bo	67065N480	NAWSX		1.00	1.00	1.89000		SELL ONLY
Nuveen	Nuveen California High Yield Municipal Bo	67065N555	NCHRX			.00	0.89000		SELL ONLY
Nuveen	Nuveen California Municipal Bond Fund Cl	67065N548	NAKFX		1.00	1.00	1.53000		SELL ONLY
Nuveen	Nuveen California Municipal Bond Fund Cl	67065N407	NCSPX			.00	0.53000		SELL ONLY
Nuveen	Nuveen Colorado Municipal Bond Fund Cl	67065L625	FAFKX		1.00	1.00	1.58000		SELL ONLY
Nuveen	Nuveen Colorado Municipal Bond Fund Cl	67065L880	FCORX			.00	0.58000		SELL ONLY
Nuveen	Nuveen Connecticut Municipal Bond Fund	67065N530	FDCDX		1.00	1.00	1.60000		SELL ONLY
Nuveen	Nuveen Connecticut Municipal Bond Fund	67065N852	FCTRX			.00	0.60000		SELL ONLY
Nuveen	Nuveen Credit Income Fund Class A	670678218	FJSIX	4.75		.25	1.16000		BUY,SELL
Nuveen	Nuveen Credit Income Fund Class C	670678267	FCSIX		1.00	1.00	1.91000		SELL ONLY
Nuveen	Nuveen Credit Income Fund Class I	670678234	FJSYX			.00	0.90000		SELL ONLY
Nuveen	Nuveen Dividend Value Fund Class A	670678887	FFEIX	5.75		.25	1.11000		BUY,SELL
Nuveen	Nuveen Dividend Value Fund Class C	670678317	FFECX		1.00	1.00	1.86000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Nuveen	Nuveen Dividend Value Fund Class I	670678879	FAQIX			.00	0.86000		SELL ONLY
Nuveen	Nuveen Dividend Value Fund Class R6	670690130	FFAFX			.00	0.72000		SELL ONLY
Nuveen	Nuveen Emerging Markets Equity Fund Cl	670713734	NEKAX	5.75		.25	2.67000		SELL ONLY
Nuveen	Nuveen Emerging Markets Equity Fund Cl	670713726	NEKCX		1.00	1.00	3.42000		SELL ONLY
Nuveen	Nuveen Emerging Markets Equity Fund Cl	670713718	NEKIX			.00	2.42000		SELL ONLY
Nuveen	Nuveen Emerging Markets Equity Fund Cl	670713692	NEKFX			.00	2.36000		SELL ONLY
Nuveen	Nuveen Equity Long/Short Fund Class A	67065W183	NELAX	5.75		.25	3.09000		SELL ONLY
Nuveen	Nuveen Equity Long/Short Fund Class C	67065W175	NELCX		1.00	1.00	3.84000		SELL ONLY
Nuveen	Nuveen Equity Long/Short Fund Class I	67065W167	NELIX			.00	2.85000		SELL ONLY
Nuveen	Nuveen Floating Rate Income Fund Class	67066D713	NFRAX	3.00		.25	1.02000		SELL ONLY
Nuveen	Nuveen Floating Rate Income Fund Class	67066D697	NFFCX		1.00	1.00	1.77000		SELL ONLY
Nuveen	Nuveen Floating Rate Income Fund Class	67066D689	NFRIX			.00	0.77000		SELL ONLY
Nuveen	Nuveen Floating Rate Income Fund Class	67066D556	NFRFX			.00	0.68000		SELL ONLY
Nuveen	Nuveen Georgia Municipal Bond Fund Cla	67065P717	FGCCX		1.00	1.00	1.63000		SELL ONLY
Nuveen	Nuveen Georgia Municipal Bond Fund Cla	67065P808	FGARX			.00	0.63000		SELL ONLY
Nuveen	Nuveen Global Infrastructure Fund Class A	670690494	FGIAX	5.75		.25	1.35000		SELL ONLY
Nuveen	Nuveen Global Infrastructure Fund Class C	670690528	FGNCX		1.00	1.00	2.10000		SELL ONLY
Nuveen	Nuveen Global Infrastructure Fund Class I	670690510	FGIYX			.00	1.10000		SELL ONLY
Nuveen	Nuveen Global Infrastructure Fund Class F	670693852	FGIWX			.00	1.01000		SELL ONLY
Nuveen	Nuveen Global Real Estate Securities Fun	670700665	NGJAX	5.75		.25	2.45000		SELL ONLY
Nuveen	Nuveen Global Real Estate Securities Fun	670700657	NGJCX		1.00	1.00	3.20000		SELL ONLY
Nuveen	Nuveen Global Real Estate Securities Fun	670700640	NGJIX			.00	2.20000		SELL ONLY
Nuveen	Nuveen Global Real Estate Securities Fun	670700632	NGJFX			.00	2.15000		SELL ONLY
Nuveen	Nuveen High Yield Income Fund Class A	67066D754	NCOAX	4.75		.25	1.05000		BUY,SELL
Nuveen	Nuveen High Yield Income Fund Class C	67066D747	NCFCX		1.00	1.00	1.81000		SELL ONLY
Nuveen	Nuveen High Yield Income Fund Class I	67066D739	NCOIX			.00	0.80000		SELL ONLY
Nuveen	Nuveen High Yield Income Fund Class R6	67066D564	NCSRX			.00	0.69000		SELL ONLY
Nuveen	Nuveen High Yield Municipal Bond Fund C	67065Q749	NHMAX	4.20		.20	0.96000		SELL ONLY
Nuveen	Nuveen High Yield Municipal Bond Fund C	67065Q624	NHCCX		1.00	1.00	1.76000		SELL ONLY
Nuveen	Nuveen High Yield Municipal Bond Fund C	67065Q772	NHMRX			.00	0.76000		SELL ONLY
Nuveen	Nuveen High Yield Municipal Bond Fund C	67065Q558	NHMFY			.00	0.73000		SELL ONLY
Nuveen	Nuveen Intermediate Duration Municipal B	67065Q640	NNCCX		1.00	1.00	1.44000		SELL ONLY
Nuveen	Nuveen Intermediate Duration Municipal B	67065Q400	NUVBX			.00	0.44000		SELL ONLY
Nuveen	Nuveen International Growth Fund Class A	670725738	NBQAX	5.75		.25	1.20000		BUY,SELL
Nuveen	Nuveen International Growth Fund Class C	670725720	NBQCX		1.00	1.00	1.95000		SELL ONLY
Nuveen	Nuveen International Growth Fund Class I	670725712	NBQIX			.00	0.95000		SELL ONLY
Nuveen	Nuveen International Growth Fund Class F	670713304	NBQFX			.00	0.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Nuveen	Nuveen Kansas Municipal Bond Fund Class A	67065R671	FAFOX		1.00	1.00	1.62000		SELL ONLY
Nuveen	Nuveen Kansas Municipal Bond Fund Class C	67065R408	FRKSX			.00	0.62000		SELL ONLY
Nuveen	Nuveen Kentucky Municipal Bond Fund Class A	67065R663	FKCCX		1.00	1.00	1.73000		SELL ONLY
Nuveen	Nuveen Kentucky Municipal Bond Fund Class C	67065R804	FKYRX			.00	0.73000		SELL ONLY
Nuveen	Nuveen Large Cap Core Fund Class A	670729730	NLACX	5.75		.25	1.02000		BUY,SELL
Nuveen	Nuveen Large Cap Core Fund Class C	670729722	NLCDX		1.00	1.00	1.77000		SELL ONLY
Nuveen	Nuveen Large Cap Core Fund Class I	670729714	NLCIX			.00	0.77000		SELL ONLY
Nuveen	Nuveen Large Cap Core Fund Class R6	670729516	NLCFX			.00	0.69000		SELL ONLY
Nuveen	Nuveen Large Cap Select Fund Class A	670690296	FLRAX	5.75		.25	1.30000		SELL ONLY
Nuveen	Nuveen Large Cap Select Fund Class C	670690312	FLYCX		1.00	1.00	2.05000		SELL ONLY
Nuveen	Nuveen Large Cap Select Fund Class I	670690338	FLRYX			.00	1.05000		SELL ONLY
Nuveen	Nuveen Limited Term Municipal Bond Fund Class A	67065Q632	FAFJX		1.00	1.00	1.41000		SELL ONLY
Nuveen	Nuveen Limited Term Municipal Bond Fund Class C	67065Q822	FLTRX			.00	0.41000		SELL ONLY
Nuveen	Nuveen Louisiana Municipal Bond Fund Class A	67065P691	FAFLX		1.00	1.00	1.62000		SELL ONLY
Nuveen	Nuveen Louisiana Municipal Bond Fund Class C	67065P857	FTLRX			.00	0.62000		SELL ONLY
Nuveen	Nuveen Maryland Municipal Bond Fund Class A	67065L831	NMDAX	4.20		.20	0.81000		SELL ONLY
Nuveen	Nuveen Maryland Municipal Bond Fund Class C	67065L617	NACCX		1.00	1.00	1.61000		SELL ONLY
Nuveen	Nuveen Maryland Municipal Bond Fund Class I	67065L799	NMMDX			.00	0.61000		SELL ONLY
Nuveen	Nuveen Massachusetts Municipal Bond Fund Class A	67065N522	NAAGX		1.00	1.00	1.58000		SELL ONLY
Nuveen	Nuveen Massachusetts Municipal Bond Fund Class C	67065N811	NBMAX			.00	0.58000		SELL ONLY
Nuveen	Nuveen Michigan Municipal Bond Fund Class A	67065R655	FAFNX		1.00	1.00	1.63000		SELL ONLY
Nuveen	Nuveen Michigan Municipal Bond Fund Class C	67065R820	NMMIX			.00	0.63000		SELL ONLY
Nuveen	Nuveen Mid Cap Growth Opportunities Fund Class A	670690718	FRSLX	5.75		.25	1.24000		SELL ONLY
Nuveen	Nuveen Mid Cap Growth Opportunities Fund Class C	670690734	FMECX		1.00	1.00	1.99000		SELL ONLY
Nuveen	Nuveen Mid Cap Growth Opportunities Fund Class I	670690759	FISGX			.00	0.99000		SELL ONLY
Nuveen	Nuveen Mid Cap Growth Opportunities Fund Class R6	670690114	FMEFX			.00	0.88000		SELL ONLY
Nuveen	Nuveen Mid Cap Value Fund Class A	670678853	FASEX	5.75		.25	1.27000		BUY,SELL
Nuveen	Nuveen Mid Cap Value Fund Class C	670678333	FACSX		1.00	1.00	2.02000		SELL ONLY
Nuveen	Nuveen Mid Cap Value Fund Class I	670678663	FSEIX			.00	1.02000		SELL ONLY
Nuveen	Nuveen Mid Cap Value Fund Class R6	670693555	FMVQX			.00	0.89000		SELL ONLY
Nuveen	Nuveen Minnesota Intermediate Municipal Bond Fund Class A	670693100	NIBCX		1.00	1.00	1.60000		SELL ONLY
Nuveen	Nuveen Minnesota Intermediate Municipal Bond Fund Class C	670678689	FAMTX			.00	0.60000		SELL ONLY
Nuveen	Nuveen Minnesota Municipal Bond Fund Class A	670693209	NTCCX		1.00	1.00	1.59000		SELL ONLY
Nuveen	Nuveen Minnesota Municipal Bond Fund Class C	670678192	FYMNX			.00	0.59000		SELL ONLY
Nuveen	Nuveen Missouri Municipal Bond Fund Class A	67065R648	FAFPX		1.00	1.00	1.57000		SELL ONLY
Nuveen	Nuveen Missouri Municipal Bond Fund Class C	67065R770	FMMRX			.00	0.57000		SELL ONLY
Nuveen	Nuveen Nebraska Municipal Bond Fund Class A	670693308	NAAFX		1.00	1.00	1.69000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Nuveen	Nuveen Nebraska Municipal Bond Fund C	670678523	FNTYX			.00	0.69000		SELL ONLY
Nuveen	Nuveen New Jersey Municipal Bond Fund	67065N514	NJCCX		1.00	1.00	1.61000		SELL ONLY
Nuveen	Nuveen New Jersey Municipal Bond Fund	67065N720	NMNJX			.00	0.61000		SELL ONLY
Nuveen	Nuveen New Mexico Municipal Bond Fund	67065L591	FNCCX		1.00	1.00	1.68000		SELL ONLY
Nuveen	Nuveen New Mexico Municipal Bond Fund	67065L757	FNMRX			.00	0.68000		SELL ONLY
Nuveen	Nuveen New York Municipal Bond Fund C	67065N498	NAJPX		1.00	1.00	1.56000		SELL ONLY
Nuveen	Nuveen New York Municipal Bond Fund C	67065N647	NTNYX			.00	0.56000		SELL ONLY
Nuveen	Nuveen North Carolina Municipal Bond Fu	67065P683	FDCCX		1.00	1.00	1.60000		SELL ONLY
Nuveen	Nuveen North Carolina Municipal Bond Fu	67065P816	FCNRX			.00	0.60000		SELL ONLY
Nuveen	Nuveen NWQ Flexible Income Fund Class	670700608	NWQAX	4.75		.25	1.04000		BUY,SELL
Nuveen	Nuveen NWQ Flexible Income Fund Class	670700707	NWQCX		1.00	1.00	1.79000		SELL ONLY
Nuveen	Nuveen NWQ Flexible Income Fund Class	670700806	NWQIX			.00	0.79000		SELL ONLY
Nuveen	Nuveen NWQ Flexible Income Fund Class	670700798	NQWFX			.00	0.72000		SELL ONLY
Nuveen	Nuveen NWQ Global Equity Income Fund	67064Y321	NQGAX	5.75		.25	1.24000		SELL ONLY
Nuveen	Nuveen NWQ Global Equity Income Fund	67064Y313	NQGCX		1.00	1.00	1.99000		SELL ONLY
Nuveen	Nuveen NWQ Global Equity Income Fund	67064Y297	NQGIX			.00	0.99000		SELL ONLY
Nuveen	Nuveen NWQ International Value Fund Cla	67065W506	NAIGX	5.75		.25	1.33000		SELL ONLY
Nuveen	Nuveen NWQ International Value Fund Cla	67065W704	NCIGX		1.00	1.00	2.08000		SELL ONLY
Nuveen	Nuveen NWQ International Value Fund Cla	67065W803	NGRRX			.00	1.07000		SELL ONLY
Nuveen	Nuveen NWQ Large Cap Value Fund Clas	67064Y628	NQCAX	5.75		.25	1.40000		SELL ONLY
Nuveen	Nuveen NWQ Large Cap Value Fund Clas	67064Y594	NQCCX		1.00	1.00	2.15000		SELL ONLY
Nuveen	Nuveen NWQ Large Cap Value Fund Clas	67064Y586	NQCRX			.00	1.15000		SELL ONLY
Nuveen	Nuveen NWQ Multi Cap Value Fund Class	67064Y792	NQVAX	5.75		.25	1.30000		SELL ONLY
Nuveen	Nuveen NWQ Multi Cap Value Fund Class	67064Y776	NQVCX		1.00	1.00	2.05000		SELL ONLY
Nuveen	Nuveen NWQ Multi Cap Value Fund Class	67064Y768	NQVRX			.00	1.05000		SELL ONLY
Nuveen	Nuveen NWQ Small/Mid Cap Value Fund	67064Y578	NSMAX	5.75		.25	1.85000		SELL ONLY
Nuveen	Nuveen NWQ Small/Mid Cap Value Fund	67064Y552	NSMCX		1.00	1.00	2.60000		SELL ONLY
Nuveen	Nuveen NWQ Small/Mid Cap Value Fund	67064Y545	NSMRX			.00	1.60000		SELL ONLY
Nuveen	Nuveen NWQ Small/Mid Cap Value Fund	670729466	NWQFX			.00	1.43000		SELL ONLY
Nuveen	Nuveen NWQ Small-Cap Value Fund Clas	67064Y750	NSCAX	5.75		.25	1.35000		SELL ONLY
Nuveen	Nuveen NWQ Small-Cap Value Fund Clas	67064Y735	NSCCX		1.00	1.00	2.10000		SELL ONLY
Nuveen	Nuveen NWQ Small-Cap Value Fund Clas	67064Y727	NSCRX			.00	1.10000		SELL ONLY
Nuveen	Nuveen NWQ Small-Cap Value Fund Clas	670729847	NSCFX			.00	0.91000		SELL ONLY
Nuveen	Nuveen Ohio Municipal Bond Fund Class	67065R630	FAFMX		1.00	1.00	1.58000		SELL ONLY
Nuveen	Nuveen Ohio Municipal Bond Fund Class	67065R739	NXOHX			.00	0.58000		SELL ONLY
Nuveen	Nuveen Oregon Intermediate Municipal Bo	670693407	NAFOX		1.00	1.00	1.61000		SELL ONLY
Nuveen	Nuveen Oregon Intermediate Municipal Bo	670678408	FORCX			.00	0.61000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Nuveen	Nuveen Pennsylvania Municipal Bond Fund	67065L583	FPCCX		1.00	1.00	1.58000		SELL ONLY
Nuveen	Nuveen Pennsylvania Municipal Bond Fund	67065L716	NBPAX			.00	0.58000		SELL ONLY
Nuveen	Nuveen Preferred Securities & Income Fund	670700103	NPSAX	4.75		.25	1.03000		BUY,SELL
Nuveen	Nuveen Preferred Securities & Income Fund	670700301	NPSCX		1.00	1.00	1.78000		SELL ONLY
Nuveen	Nuveen Preferred Securities & Income Fund	670700400	NPSRX			.00	0.78000		SELL ONLY
Nuveen	Nuveen Preferred Securities & Income Fund	670700814	NPSFX			.00	0.69000		SELL ONLY
Nuveen	Nuveen Real Asset Income Fund Class A	670690171	NRIAX	5.75		.25	1.16000		BUY,SELL
Nuveen	Nuveen Real Asset Income Fund Class C	670690163	NRICX		1.00	1.00	1.91000		SELL ONLY
Nuveen	Nuveen Real Asset Income Fund Class I	670690155	NRIIX			.00	0.91000		SELL ONLY
Nuveen	Nuveen Real Asset Income Fund Class R6	670693860	NRIFX			.00	0.81000		SELL ONLY
Nuveen	Nuveen Real Estate Securities Fund Class A	670678705	FREAX	5.75		.25	1.30000		SELL ONLY
Nuveen	Nuveen Real Estate Securities Fund Class C	670678473	FRLCX		1.00	1.00	2.05000		SELL ONLY
Nuveen	Nuveen Real Estate Securities Fund Class I	670678507	FARCX			.00	1.05000		SELL ONLY
Nuveen	Nuveen Real Estate Securities Fund Class R6	670678119	FREGX			.00	0.90000		SELL ONLY
Nuveen	Nuveen Santa Barbara Dividend Growth Fund	67065W662	NSBAX	5.75		.25	0.95000		BUY,SELL
Nuveen	Nuveen Santa Barbara Dividend Growth Fund	67065W647	NSBCX		1.00	1.00	1.70000		SELL ONLY
Nuveen	Nuveen Santa Barbara Dividend Growth Fund	67065W639	NSBRX			.00	0.70000		SELL ONLY
Nuveen	Nuveen Santa Barbara Dividend Growth Fund	670725365	NSBFX			.00	0.64000		SELL ONLY
Nuveen	Nuveen Santa Barbara Global Dividend Growth Fund	670725464	NUGAX	5.75		.25	1.69000		BUY,SELL
Nuveen	Nuveen Santa Barbara Global Dividend Growth Fund	670725456	NUGCX		1.00	1.00	2.44000		SELL ONLY
Nuveen	Nuveen Santa Barbara Global Dividend Growth Fund	670725449	NUGIX			.00	1.44000		SELL ONLY
Nuveen	Nuveen Santa Barbara International Dividend Growth Fund	670725423	NUIAX	5.75		.25	4.19000		SELL ONLY
Nuveen	Nuveen Santa Barbara International Dividend Growth Fund	670725415	NUICX		1.00	1.00	4.94000		SELL ONLY
Nuveen	Nuveen Santa Barbara International Dividend Growth Fund	670725399	NUIIX			.00	3.94000		SELL ONLY
Nuveen	Nuveen Short Duration High Yield Municipal Bond Fund	67065Q616	NVCCX		1.00	1.00	1.61000		SELL ONLY
Nuveen	Nuveen Short Duration High Yield Municipal Bond Fund	67065Q699	NVHIX			.00	0.61000		SELL ONLY
Nuveen	Nuveen Short Term Municipal Bond Fund	670693506	NAAEX		1.00	1.00	1.48000		SELL ONLY
Nuveen	Nuveen Short Term Municipal Bond Fund	670690486	FSHYX			.00	0.48000		SELL ONLY
Nuveen	Nuveen Small Cap Growth Opportunities Fund	670690767	FRMPX	5.75		.25	1.43000		SELL ONLY
Nuveen	Nuveen Small Cap Growth Opportunities Fund	670690783	FMPCX		1.00	1.00	2.18000		SELL ONLY
Nuveen	Nuveen Small Cap Growth Opportunities Fund	670690817	FIMPX			.00	1.18000		SELL ONLY
Nuveen	Nuveen Small Cap Growth Opportunities Fund	670693845	FMPFX			.00	0.99000		SELL ONLY
Nuveen	Nuveen Small Cap Select Fund Class A	670690833	EMGRX	5.75		.25	1.48000		SELL ONLY
Nuveen	Nuveen Small Cap Select Fund Class C	670690858	FHMCX		1.00	1.00	2.23000		SELL ONLY
Nuveen	Nuveen Small Cap Select Fund Class I	670690874	ARSTX			.00	1.23000		SELL ONLY
Nuveen	Nuveen Small Cap Select Fund Class R6	670693563	ASEFX			.00	1.09000		SELL ONLY
Nuveen	Nuveen Small Cap Value Fund Class A	670678309	FSCAX	5.75		.25	1.30000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Nuveen	Nuveen Small Cap Value Fund Class C	670678341	FSCVX		1.00	1.00	2.05000		SELL ONLY
Nuveen	Nuveen Small Cap Value Fund Class I	670678200	FSCCX			.00	1.05000		SELL ONLY
Nuveen	Nuveen Small Cap Value Fund Class R6	670693837	FSCWX			.00	0.86000		SELL ONLY
Nuveen	Nuveen Strategic Income Fund Class A	670678366	FCDDX	4.25		.25	0.97000		BUY,SELL
Nuveen	Nuveen Strategic Income Fund Class C	670678382	FCBCX		1.00	1.00	1.72000		SELL ONLY
Nuveen	Nuveen Strategic Income Fund Class I	670678390	FCBYX			.00	0.72000		SELL ONLY
Nuveen	Nuveen Strategic Income Fund Class R6	670693878	FSFRX			.00	0.63000		SELL ONLY
Nuveen	Nuveen Strategic Municipal Opportunities	67065Q590	NSAOX	3.00		.20	0.80000		SELL ONLY
Nuveen	Nuveen Strategic Municipal Opportunities	67065Q582	NSCOX		1.00	1.00	1.60000		SELL ONLY
Nuveen	Nuveen Strategic Municipal Opportunities	67065Q574	NSIOX			.00	0.60000		SELL ONLY
Nuveen	Nuveen Virginia Municipal Bond Fund Class	67065L575	FVCCX		1.00	1.00	1.58000		SELL ONLY
Nuveen	Nuveen Virginia Municipal Bond Fund Class	67065L666	NMVAX			.00	0.58000		SELL ONLY
Nuveen	Nuveen Winslow International Small Cap F	670713502	NWAIX	5.75		.25	1.64000		SELL ONLY
Nuveen	Nuveen Winslow International Small Cap F	670713601	NWSCX		1.00	1.00	2.39000		SELL ONLY
Nuveen	Nuveen Winslow International Small Cap F	670713700	NWPIX			.00	1.39000		SELL ONLY
Nuveen	Nuveen Winslow International Small Cap F	670713809	NWIFX			.00	1.35000		SELL ONLY
Nuveen	Nuveen Winslow Large-Cap Growth ESG	670725688	NWCAX	5.75		.25	1.20000		BUY,SELL
Nuveen	Nuveen Winslow Large-Cap Growth ESG	670725670	NWCCX		1.00	1.00	1.95000		SELL ONLY
Nuveen	Nuveen Winslow Large-Cap Growth ESG	670725662	NVLIX			.00	0.95000		SELL ONLY
Nuveen	Nuveen Winslow Large-Cap Growth ESG	670725373	NWCFX			.00	0.74000		SELL ONLY
Nuveen	Nuveen Wisconsin Municipal Bond Fund C	67065R721	FWIAX	4.20		.20	0.93000		SELL ONLY
Nuveen	Nuveen Wisconsin Municipal Bond Fund C	67065R622	FWCCX		1.00	1.00	1.73000		SELL ONLY
Nuveen	Nuveen Wisconsin Municipal Bond Fund C	67065R689	FWIRX			.00	0.73000		SELL ONLY