

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Oakmark	Oakmark Bond Fund R6 Class	413838541	OAZCX				2.82000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund Class A	413838772	OAYBX				0.63000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund Class I	413838764	OANBX				0.58000		SELL ONLY
Oakmark	Oakmark Equity And Income Fund Investo	413838400	OAKBX				0.86000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund R6 Clas	413838558	OAZBX				0.56000		SELL ONLY
Oakmark	Oakmark Fund Advisor Class	413838798	OAYMX				0.71000		SELL ONLY
Oakmark	Oakmark Fund Institutional Class	413838780	OANMX				0.68000		SELL ONLY
Oakmark	Oakmark Fund Investor Class	413838103	OAKMX				0.93000		SELL ONLY
Oakmark	Oakmark Fund R6 Class	413838624	OAZMX				0.65000		SELL ONLY
Oakmark	Oakmark Global Fund Class Advisor	413838681	OAYGX				0.94000		SELL ONLY
Oakmark	Oakmark Global Fund Class Institutional	413838673	OANGX				0.91000		SELL ONLY
Oakmark	Oakmark Global Fund Investor Class	413838830	OAKGX				1.14000		SELL ONLY
Oakmark	Oakmark Global Fund R6 Class	413838590	OAZGX				0.89000		SELL ONLY
Oakmark	Oakmark Global Select Fund Class Advisor	413838756	OAYWX				0.93000		SELL ONLY
Oakmark	Oakmark Global Select Fund Class Instit	413838749	OANWX				0.87000		SELL ONLY
Oakmark	Oakmark Global Select Fund Investor Clas	413838822	OAKWX				1.11000		SELL ONLY
Oakmark	Oakmark Global Select Fund R6 Class	413838582	OAZWX				0.85000		SELL ONLY
Oakmark	Oakmark International Fund Class Advisor	413838731	OAYIX				0.87000		SELL ONLY
Oakmark	Oakmark International Fund Class Institi	413838723	OANIX				0.80000		SELL ONLY
Oakmark	Oakmark International Fund Investor Class	413838202	OAKIX				1.06000		SELL ONLY
Oakmark	Oakmark International Fund R6 Class	413838574	OAZIX				0.77000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Cla	413838665	OAYEX				1.21000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Cla	413838657	OANEX				1.11000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Inv	413838509	OAKEX				1.39000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund R6	413838566	OAZEX				1.10000		SELL ONLY
Oakmark	Oakmark Select Fund Class Advisor	413838715	OAYLX				0.89000		SELL ONLY
Oakmark	Oakmark Select Fund Class Institutional	413838699	OANLX				0.79000		SELL ONLY
Oakmark	Oakmark Select Fund Investor Class	413838608	OAKLX				1.03000		SELL ONLY
Oakmark	Oakmark Select Fund R6 Class	413838616	OAZLX				0.77000		SELL ONLY
Olstein	Olstein All Cap Value Fund Class A	56167N563	OFAVX	5.50		.25	1.40000		SELL ONLY
Olstein	Olstein All Cap Value Fund Class Advisor	56167N621	OFAFX				1.15000		SELL ONLY
Olstein	Olstein All Cap Value Fund Class C	56167N613	OFAFX		1.00	1.00	2.15000		SELL ONLY
Olstein	Olstein Strategic Opportunities Fund Advis	56167N571	OFSFX				1.55000		SELL ONLY
Olstein	Olstein Strategic Opportunities Fund Class	56167N597	OFSAX	5.50		.25	1.81000		SELL ONLY
Olstein	Olstein Strategic Opportunities Fund Class	56167N589	OFSCX		1.00	1.00	2.55000		SELL ONLY
Osterweis	Osterweis Emerging Opportunity Fund	74316P744	OSTGX				1.20000		SELL ONLY
Osterweis	Osterweis Fund	742935406	OSTFX				0.95000		SELL ONLY

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Osterweis	Osterweis Growth & Income Fund	74316J771	OSTVX				0.94000		SELL ONLY
Osterweis	Osterweis Strategic Income Fund	742935489	OSTIX				0.88000		SELL ONLY
Osterweis	Osterweis Total Return Fund	74316P736	OSTRX				0.70000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Core Income Fund Advisor C	69447T722	PLIDX				0.73000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Core Income Fund Class A	69447T813	PLIAX	4.25		.25	0.98000		BUY,SELL
Pacific Funds Series Tru	Pacific Funds Core Income Fund Class C	69447T789	PLNCX		1.00	1.00	1.73000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Core Income Fund Class I	69447T797	PLIIX				0.73000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Floating Rate Income Fund	69447T714	PLFDX				0.94000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Floating Rate Income Fund	69448A870	PLFLX	3.00		.25	1.20000		BUY,SELL
Pacific Funds Series Tru	Pacific Funds Floating Rate Income Fund	69448A862	PLBCX		1.00	1.00	1.95000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Floating Rate Income Fund	69447T771	PLFRX				0.94000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds High Income Fund Advisor C	69447T755	PLHYX				0.88000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds High Income Fund Class A	69448A102	PLAHX	4.25		.25	1.13000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds High Income Fund Class C	69448A201	PLCHX		1.00	1.00	1.88000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds High Income Fund Class I	69448A300	PLHIX				0.88000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Aggre	69447T649	POEDX				1.07000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Aggre	694289349	POEAX	5.50		.25	1.32000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Aggre	694289323	POCEX		1.00	1.00	2.07000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Conse	69447T680	PLCDX				1.03000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Conse	694289471	POAAX	5.50		.25	1.28000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Conse	694289455	POACX		1.00	1.00	2.03000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Growt	69447T656	PMADX				1.05000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Growt	694289372	PODAX	5.50		.25	1.30000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Growt	694289356	PODCX		1.00	1.00	2.05000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Moder	69447T664	POMDX				1.01000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Moder	694289414	POCAX	5.50		.25	1.26000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Moder	694289380	POMCX		1.00	1.00	2.01000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Moder	69447T672	PMCDX				1.04000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Moder	694289448	POBAX	5.50		.25	1.29000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Portfolio Optimization Moder	694289422	POBCX		1.00	1.00	2.04000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Short Duration Income Fund	69447T748	PLDSX				0.63000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Short Duration Income Fund	69448A409	PLADX	3.00		.25	0.88000		BUY,SELL
Pacific Funds Series Tru	Pacific Funds Short Duration Income Fund	69448A508	PLCSX		1.00	1.00	1.63000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Short Duration Income Fund	69448A607	PLSDX				0.63000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small/Mid-Cap Advisor Clas	69448A482	PFMDX				1.00000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small/Mid-Cap Class A	69448A524	PFDAAX	4.25		.25	1.24000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small/Mid-Cap Class C	69448A516	PFPCX		1.00	1.00	1.99000		SELL ONLY

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							Expense Ratio		
Pacific Funds Series Tru	Pacific Funds Small-Cap Advisor Class	69448A433	PFQDX				1.65000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small-Cap Class A	69448A466	PFKAX	4.25		.25	1.88000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small-Cap Class C	69448A458	PFACX		1.00	1.00	2.65000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small-Cap Value Advisor Cl	69448A367	PFFDX				1.61000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small-Cap Value Class A	69448A391	PFEAX	4.25		.25	1.85000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Small-Cap Value Class C	69448A383	PFHCX		1.00	1.00	2.62000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Strategic Income Fund Adv	69447T730	PLSFX				0.85000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Strategic Income Fund Clas	69448A706	PLSTX	4.25		.25	1.10000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Strategic Income Fund Clas	69448A805	PLCNX		1.00	1.00	1.85000		SELL ONLY
Pacific Funds Series Tru	Pacific Funds Strategic Income Fund Clas	69448A888	PLSRX				0.86000		SELL ONLY
Palmer Square	Palmer Square Income Plus Fund	46141P388	PSYPX				0.80000		SELL ONLY
Palmer Square	Palmer Square Ultra-Short Duration Invest	46141Q816	PSDSX				0.82000		SELL ONLY
Parnassus	Parnassus Core Equity Fund - Institutional	701769408	PRILX				0.62000		SELL ONLY
Parnassus	Parnassus Core Equity Fund - Investor Sh	701769101	PRBLX				0.84000		SELL ONLY
Parnassus	Parnassus Endeavor Fund Institutional Sh	701765406	PFPWX				0.73000		SELL ONLY
Parnassus	Parnassus Endeavor Fund Investor Share	701765869	PARWX				0.94000		SELL ONLY
Parnassus	Parnassus Fixed Income Fund	701769200	PRFIX				0.74000		SELL ONLY
Parnassus	Parnassus Fixed Income Fund Institutional	701765703	PFPLX				0.55000		SELL ONLY
Parnassus	Parnassus Mid Cap Fund	701765885	PARMX				0.98000		SELL ONLY
Parnassus	Parnassus Mid Cap Fund Institutional Sha	701765505	PFPMX				0.76000		SELL ONLY
Parnassus	Parnassus Mid Cap Growth Fund - Instit	701765307	PFPRX				0.68000		SELL ONLY
Parnassus	Parnassus Mid Cap Growth Fund - Invest	701765109	PARNX				0.83000		SELL ONLY
Pax World	Pax Core Bond Fund Individual Investor C	704223478	PAXBX			.25	0.72000		SELL ONLY
Pax World	Pax Core Bond Fund Institutional Class	704223460	PXBIX			.00	0.46000		SELL ONLY
Pax World	Pax Ellevate Global Women?s Leadership	70422T109	PXWIX			.00	0.53000		SELL ONLY
Pax World	Pax Ellevate Global Women?s Leadership	70422T208	PXWEX			.25	0.78000		SELL ONLY
Pax World	Pax Global Environmental Markets Fund C	704223551	PXEAX	5.50		.25	1.20000		SELL ONLY
Pax World	Pax Global Environmental Markets Fund Ir	704223775	PGINX			.00	0.95000		SELL ONLY
Pax World	Pax Global Environmental Markets Fund Ir	704223783	PGRNX			.25	1.20000		SELL ONLY
Pax World	Pax Global Opportunities Fund Institutional	704223429	PXGOX			.00	1.31000		SELL ONLY
Pax World	Pax Global Opportunities Fund Investor Cl	704223437	PAXGX			.25	1.56000		SELL ONLY
Pax World	Pax Global Sustainable Infrastructure Fund	704223452	PAXDX			.25	0.90000		SELL ONLY
Pax World	Pax Global Sustainable Infrastructure Fund	704223445	PXDIX			.00	0.65000		SELL ONLY
Pax World	Pax High Yield Bond Fund Class A	704223577	PXHAX	4.50		.25	0.96000		SELL ONLY
Pax World	Pax High Yield Bond Fund Institutional Cla	704223809	PXHIX			.00	0.72000		SELL ONLY
Pax World	Pax High Yield Bond Fund Investor Class	704223700	PAXHX			.25	0.96000		SELL ONLY
Pax World	Pax International Sustainable Economy Fu	704223742	PXNIX			.00	0.48000		SELL ONLY

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						12b-1 Fees	Expense Ratio		
Pax World	Pax International Sustainable Economy Fu	704223759	PXINX			.25	0.73000		SELL ONLY
Pax World	Pax Large Cap Fund Individual Investor Cl	704223494	PAXLX			.25	0.95000		SELL ONLY
Pax World	Pax Large Cap Fund Institutional Class	704223486	PXLIX			.00	0.70000		SELL ONLY
Pax World	Pax Small Cap Fund Class A	704223569	PXSAX	5.50		.25	1.19000		BUY,SELL
Pax World	Pax Small Cap Fund Institutional Class	704223817	PXSIX			.00	0.94000		SELL ONLY
Pax World	Pax Small Cap Fund Investor Class	704223825	PXSCX			.25	1.19000		SELL ONLY
Pax World	Pax Sustainable Allocation Fund Class Ins	704223205	PAXIX			.00	0.62000		SELL ONLY
Pax World	Pax Sustainable Allocation Fund Investor C	704223106	PAXWX			.25	0.87000		SELL ONLY
Pax World	Pax U.S. Sustainable Economy Class A	704223585	PXGAX	5.50		.25	0.90000		SELL ONLY
Pax World	Pax U.S. Sustainable Economy Institutional	704223502	PWGIX			.00	0.65000		SELL ONLY
Pax World	Pax U.S. Sustainable Economy Investor C	704223403	PXWGX			.25	0.90000		SELL ONLY
Pear Tree Funds	Pear Tree Axiom Emerging Markets World	70472Q872	QEMAX				1.44000		SELL ONLY
Pear Tree Funds	Pear Tree Axiom Emerging Markets World	70472Q880	QFFOX			.25	1.69000		SELL ONLY
Pear Tree Funds	Pear Tree Axiom Emerging Markets World	70472Q799	QFFRX				1.29000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Fund Clas	70472Q807	QFVIX				1.25000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Fund Clas	70472Q708	QFVOX			.25	1.50000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Fund Clas	70472Q773	QFVRX				1.10000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Small Cap	70472Q765	QUSRX				1.13000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Small Cap	70472Q500	QUSIX				1.28000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Small Cap	70472Q609	QUSOX			.25	1.53000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportuniti	70472Q740	QISIX				1.37000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportuniti	70472Q757	QISOX			.25	1.62000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportuniti	70472Q732	QISRX				1.22000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Small Cap Fund Instituti	70472Q302	QBNAX				1.38000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Small Cap Fund Ordinary	70472Q401	USBNX			.25	1.63000		SELL ONLY
Pear Tree Funds	Pear Tree Quality Fund Institutional Shares	70472Q104	QGIAX				1.27000		SELL ONLY
Pear Tree Funds	Pear Tree Quality Fund Ordinary Shares	70472Q203	USBOX			.25	1.52000		SELL ONLY
Perritt	Perritt MicroCap Opportunities Fund Inves	714402203	PRCGX				1.64000	2.00	SELL ONLY
Perritt	Perritt Ultra MicroCap Fund	714402104	PREOX				2.68000	2.00	SELL ONLY
PGIM Funds (Prudential	PGIM 60/40 Allocation Fund-Class R6	74440V724	PALDX				1.09000		SELL ONLY
PGIM Funds (Prudential	PGIM Absolute Return Bond Fund- Class A	74441J852	PADAX	3.25		.25	0.96000		SELL ONLY
PGIM Funds (Prudential	PGIM Absolute Return Bond Fund- Class C	74441J845	PADCX		1.00	1.00	1.72000		SELL ONLY
PGIM Funds (Prudential	PGIM Absolute Return Bond Fund- Class I	74441J837	PADQX				0.65000		SELL ONLY
PGIM Funds (Prudential	PGIM Absolute Return Bond Fund- Class Z	74441J829	PADZX				0.73000		SELL ONLY
PGIM Funds (Prudential	PGIM Balanced Fund- Class A	74437E883	PIBAX	3.25		.30	1.16000		BUY,SELL
PGIM Funds (Prudential	PGIM Balanced Fund- Class C	74437E867	PABCX		1.00	1.00	1.84000		SELL ONLY
PGIM Funds (Prudential	PGIM Balanced Fund- Class R	74437E636	PALRX			.75	2.61000		SELL ONLY

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PGIM Funds (Prudential)	PGIM Balanced Fund- Class R6	74437E461	PIBQX				0.74000		SELL ONLY
PGIM Funds (Prudential)	PGIM Balanced Fund- Class Z	74437E859	PABFX				0.85000		SELL ONLY
PGIM Funds (Prudential)	PGIM California Muni Income Fund-Class	74440X308	PCICX		1.00	1.00	1.61000		SELL ONLY
PGIM Funds (Prudential)	PGIM California Muni Income Fund-Class	74440X605	PCIQX				0.79000		SELL ONLY
PGIM Funds (Prudential)	PGIM California Muni Income Fund-Class	74440X407	PCIZX				0.60000		SELL ONLY
PGIM Funds (Prudential)	PGIM Core Bond Fund- Class A	875921769	TPCAX	3.25		.25	0.74000		BUY,SELL
PGIM Funds (Prudential)	PGIM Core Bond Fund- Class C	875921751	TPCCX		1.00	1.00	1.77000		SELL ONLY
PGIM Funds (Prudential)	PGIM Core Bond Fund- Class R	875921736	TPCRX			.75	103.00000		SELL ONLY
PGIM Funds (Prudential)	PGIM Core Bond Fund- Class R6	875921744	TPCQX				0.37000		SELL ONLY
PGIM Funds (Prudential)	PGIM Core Bond Fund- Class Z	875921801	TAIBX				0.48000		SELL ONLY
PGIM Funds (Prudential)	PGIM Corporate Bond Fund- Class A	875921694	PCWAX	3.25		.25	1.89000		SELL ONLY
PGIM Funds (Prudential)	PGIM Corporate Bond Fund- Class C	875921686	PCWCX		1.00	1.00	3.03000		SELL ONLY
PGIM Funds (Prudential)	PGIM Corporate Bond Fund- Class R	875921660	PCWRX			.75	81.14000		SELL ONLY
PGIM Funds (Prudential)	PGIM Corporate Bond Fund- Class R6	875921678	PCWQX				1.17000		SELL ONLY
PGIM Funds (Prudential)	PGIM Corporate Bond Fund- Class Z	875921702	TGMBX				1.18000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Hard Curre	743969479	PDHAX	3.25		.25	52.89000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Hard Curre	743969461	PDHCX		1.00	1.00	91.29000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Hard Curre	743969453	PDHQX				1.14000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Hard Curre	743969446	PDHVX				1.55000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Local Curre	743969750	EMDAX	3.25		.25	1.95000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Local Curre	743969743	EMDCX		1.00	1.00	5.15000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Local Curre	743969735	EMDQX				33.04000		SELL ONLY
PGIM Funds (Prudential)	PGIM Emerging Markets Debt Local Curre	743969727	EMDZX				1.25000		SELL ONLY
PGIM Funds (Prudential)	PGIM Floating Rate Income Fund- Class A	74439V602	FRFAX	2.25		.25	1.17000		BUY,SELL
PGIM Funds (Prudential)	PGIM Floating Rate Income Fund- Class C	74439V701	FRFCX		1.00	1.00	1.94000		SELL ONLY
PGIM Funds (Prudential)	PGIM Floating Rate Income Fund- Class F	74439V883	PFRIX				0.92000		SELL ONLY
PGIM Funds (Prudential)	PGIM Floating Rate Income Fund- Class Z	74439V800	FRFZX				0.90000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Dynamic Bond Fund- Class A	74440K645	PAJAX	3.25		.25	2.03000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Dynamic Bond Fund- Class C	74440K637	PAJCX		1.00	1.00	3.17000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Dynamic Bond Fund- Class F	74440K629	PAJQX				1.22000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Dynamic Bond Fund- Class Z	74440K611	PAJZX				1.41000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class A	744336108	PURAX	5.50		.30	1.42000		BUY,SELL
PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class C	744336306	PURCX		1.00	1.00	1.95000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class R	744336405	PURRX			.75	1.81000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class R2	744336678	PUREX			.25	6.67000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class R4	744336660	PURGX				3.26000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class R6	744336876	PGRQX				0.80000		SELL ONLY

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PGIM Funds (Prudential)	PGIM Global Real Estate Fund- Class Z	744336504	PURZX				0.94000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return (USD Hedged)	74439A707	PHEAX	3.25		.25	2.15000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return (USD Hedged)	74439A806	PHECX		1.00	1.00	12.93000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return (USD Hedged)	74439A889	PHEQX				1.18000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return (USD Hedged)	74439A871	PHEZX				1.59000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return Fund - Class A	74439A103	GTRAX	3.25		.25	0.96000		BUY,SELL
PGIM Funds (Prudential)	PGIM Global Total Return Fund - Class C	74439A301	PCTRX		1.00	1.00	1.67000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return Fund - Class R2	74439A863	PGTOX			.25	1.24000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return Fund - Class R4	74439A855	PGTSX				1.09000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return Fund - Class R6	74439A509	PGTQX				0.55000		SELL ONLY
PGIM Funds (Prudential)	PGIM Global Total Return Fund - Class Z	74439A400	PZTRX				0.68000		SELL ONLY
PGIM Funds (Prudential)	PGIM Government Income Fund- Class A	74439V107	PGVAX	3.25		.25	1.00000		BUY,SELL
PGIM Funds (Prudential)	PGIM Government Income Fund- Class C	74439V305	PRICX		1.00	1.00	1.73000		SELL ONLY
PGIM Funds (Prudential)	PGIM Government Income Fund- Class R	74439V503	JDRVX			.75	1.51000		SELL ONLY
PGIM Funds (Prudential)	PGIM Government Income Fund- Class R	74439V875	PGIQX				0.54000		SELL ONLY
PGIM Funds (Prudential)	PGIM Government Income Fund- Class Z	74439V404	PGVZX				0.66000		SELL ONLY
PGIM Funds (Prudential)	PGIM High Yield Fund- Class A	74440Y108	PBHAX	3.25		.25	0.80000		BUY,SELL
PGIM Funds (Prudential)	PGIM High Yield Fund- Class C	74440Y306	PRHCX		1.00	1.00	1.50000		SELL ONLY
PGIM Funds (Prudential)	PGIM High Yield Fund- Class R	74440Y603	JDYRX			.75	1.36000		SELL ONLY
PGIM Funds (Prudential)	PGIM High Yield Fund- Class R2	74442J604	PHYEX			.25	1.12000		SELL ONLY
PGIM Funds (Prudential)	PGIM High Yield Fund- Class R4	74442J703	PHYGX				0.80000		SELL ONLY
PGIM Funds (Prudential)	PGIM High Yield Fund- Class R6	74440Y884	PHYQX				0.41000		SELL ONLY
PGIM Funds (Prudential)	PGIM High Yield Fund- Class Z	74440Y801	PHYZX				0.54000		SELL ONLY
PGIM Funds (Prudential)	PGIM Income Builder Fund-Class A	74442X108	PCGAX	4.50		.30	1.43000		BUY,SELL
PGIM Funds (Prudential)	PGIM Income Builder Fund-Class C	74442X306	PCCFX		1.00	1.00	2.11000		SELL ONLY
PGIM Funds (Prudential)	PGIM Income Builder Fund-Class R	74442X405	PCLRX			.75	2.88000		SELL ONLY
PGIM Funds (Prudential)	PGIM Income Builder Fund-Class R6	74442X769	PCGQX				1.25000		SELL ONLY
PGIM Funds (Prudential)	PGIM Income Builder Fund-Class Z	74442X504	PDCZX				1.12000		SELL ONLY
PGIM Funds (Prudential)	PGIM International Bond Fund- Class A	74441J738	PXBAX	3.25		.25	3.81000		SELL ONLY
PGIM Funds (Prudential)	PGIM International Bond Fund- Class C	74441J720	PXBCX		1.00	1.00	5.35000		SELL ONLY
PGIM Funds (Prudential)	PGIM International Bond Fund- Class R6	74441J712	PXBQX				1.12000		SELL ONLY
PGIM Funds (Prudential)	PGIM International Bond Fund- Class Z	74441J696	PXBZX				1.35000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison 20/20 Focus Fund- Class A	74440G107	PTWAX	5.50		.30	1.20000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison 20/20 Focus Fund- Class C	74440G305	PTWCX		1.00	1.00	1.93000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison 20/20 Focus Fund- Class R	74440G503	JTWRX			.75	1.71000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison 20/20 Focus Fund- Class Z	74440G602	PJTQX				1.54000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison 20/20 Focus Fund- Class Z	74440G404	PTWZX				0.89000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
PGIM Funds (Prudential)	PGIM Jennison Blend Fund- Class A	74441T108	PBQAX	5.50		.30	0.96000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Blend Fund- Class C	74441T306	PRECX		1.00	1.00	2.01000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Blend Fund- Class R6	74441T603	PBQQX				130.04000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Blend Fund- Class Z	74441T405	PEQZX				0.68000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Diversified Growth Fund-C	74440V104	TBDAX	5.50		.30	1.27000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Diversified Growth Fund-C	74440V302	TBDCX		1.00	1.00	2.04000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Diversified Growth Fund-C	74440V716	TBDQX				23.28000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Diversified Growth Fund-C	74440V690	TBDZX				1.14000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Emerging Markets Equity C	743969644	PDEAX	5.50		.30	1.63000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Emerging Markets Equity C	743969636	PDECX		1.00	1.00	2.81000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Emerging Markets Equity C	743969628	PDEQX				1.15000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Emerging Markets Equity C	743969610	PDEZX				1.16000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Financial Services Fund- C	74441P106	PFSAX	5.50		.30	1.39000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Financial Services Fund- C	74441P304	PUFCX		1.00	1.00	2.14000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Financial Services Fund- C	74441P783	PSSRX			.75	1.89000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Financial Services Fund- C	74441P734	PFSQX				77.93000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Financial Services Fund- C	74441P403	PFSZX				1.09000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Growth Fund-Cla	74440K504	SPFAX	5.50		.30	1.15000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Focused Growth Fund-Cla	74440K702	SPFCX		1.00	1.00	1.82000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Growth Fund-Cla	74440K751	PSGQX				0.75000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Growth Fund-Cla	74440K868	SPFZX				0.81000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Value Fund- Clas	74437E503	PJIAX	5.50		.30	1.15000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Focused Value Fund- Clas	74437E701	PJGCX		1.00	1.00	2.02000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Value Fund- Clas	74437E644	PJORX			.75	2.91000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Value Fund- Clas	74437E552	PJOQX				1.83000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Focused Value Fund- Clas	74437E800	PJGZX				0.84000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Equity Income Fund	74441L808	SPQAX	5.50		.30	1.20000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Global Equity Income Fund	74441L873	AGOCX		1.00	1.00	1.87000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Equity Income Fund	74441L790	PJERX			.75	1.69000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Equity Income Fund	74441L816	PJIQX				1.14000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Equity Income Fund	74441L832	JDEZX				0.88000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Infrastructure Fund	743969792	PGJAX	5.50		.30	2.17000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Infrastructure Fund	743969784	PGJCX		1.00	1.00	2.98000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Infrastructure Fund	743969560	PGJQX				1.61000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Infrastructure Fund	743969776	PGJZX				1.66000		SELL ONLY	
PGIM Funds (Prudential)	PGIM Jennison Global Opportunities Fund	743969719	PRJAX	5.50		.30	1.24000		BUY,SELL	
PGIM Funds (Prudential)	PGIM Jennison Global Opportunities Fund	743969693	PRJCX		1.00	1.00	1.93000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PGIM Funds (Prudential)	PGIM Jennison Global Opportunities Fund	743969438	PRJBX			.25	6.66000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Global Opportunities Fund	743969420	PRJDX				3.80000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Global Opportunities Fund	743969594	PRJQX				0.84000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Global Opportunities Fund	743969685	PRJZX				0.93000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class A	74437E107	PJFAX	5.50		.30	1.00000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class C	74437E305	PJFCX		1.00	1.00	1.68000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class R	74437E651	PJGRX			.75	1.46000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class R2	74437E420	PJFOX			.25	1.45000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class R4	74437E412	PJFPX				1.12000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class R6	74437E479	PJFQX				0.58000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Growth Fund- Class Z	74437E404	PJFZX				0.69000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Health Sciences Fund- Cla	74441P502	PHLAX	5.50		.30	1.14000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Health Sciences Fund- Cla	74441P700	PHLCX		1.00	1.00	1.85000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Health Sciences Fund- Cla	74441P791	PJHRX			.75	1.74000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Health Sciences Fund- Cla	74441P775	PHLQX				0.79000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Health Sciences Fund- Cla	74441P866	PHSZX				0.85000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969677	PWJAX	5.50		.30	1.34000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969669	PWJCX		1.00	1.00	2.15000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969487	PWJRX			.75	1.77000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969586	PWJQX				0.91000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969651	PWJZX				0.99000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969412	PWJBX			.25	2.09000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison International Opportunities	743969396	PWJDX				2.24000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C105	PEEAX	5.50		.30	1.06000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C303	PEGCX		1.00	1.00	1.76000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C600	JDERX			.75	1.51000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C865	PEGEX			.25	3.70000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C857	PEGGX				3.58000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C881	PJGQX				0.60000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Mid-Cap Growth Fund- Cla	74441C808	PEGZX				0.74000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison MLP Fund-Class A	74440G701	PRPAX	5.50		.30	2.04000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison MLP Fund-Class C	74440G800	PRPCX		1.00	1.00	2.72000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison MLP Fund-Class R6	74440G859	PRPQX				1.80000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison MLP Fund-Class Z	74440G883	PRPZX				1.67000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Natural Resources Fund -	74441K107	PGNAX	5.50		.30	1.38000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Natural Resources Fund -	74441K305	PNRCX		1.00	1.00	2.09000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Natural Resources Fund -	74441K404	JNRRX			.75	1.80000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
PGIM Funds (Prudential)	PGIM Jennison Natural Resources Fund -	74441K602	PJNQX				0.85000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Natural Resources Fund -	74441K503	PNRZX				0.94000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Rising Dividend Fund- Cla	74440V823	PJDAX	5.50		.30	2.20000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison Rising Dividend Fund- Cla	74440V815	PJDCX		1.00	1.00	3.53000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Rising Dividend Fund- Cla	74440V682	PJDQX				123.07000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Rising Dividend Fund- Cla	74440V799	PJDZX				1.72000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N101	PGOAX	5.50		.30	1.18000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N309	PSCCX		1.00	1.00	1.89000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N507	JSCRX			.75	1.60000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N861	PSCHX			.25	1.39000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N853	PSCJX				1.61000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N887	PJSQX				0.70000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Small Company Fund- Cla	74441N408	PSCZX				0.82000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Technology Fund Class A	744336652	PGKAX	5.50		.30	3.39000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Technology Fund Class C	744336645	PGKCX		1.00	1.00	7.59000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Technology Fund Class R	744336629	PGKRX				1.85000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Technology Fund Class Z	744336637	PGKZX				1.98000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Utility Fund- Class A	74441P858	PRUAX	5.50		.30	0.83000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Utility Fund- Class C	74441P833	PCUFX		1.00	1.00	1.59000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Utility Fund- Class R	74441P825	JDURX			.75	1.36000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Utility Fund- Class R6	74441P726	PRUQX				0.63000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Utility Fund- Class Z	74441P817	PRUZX				0.57000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Value Fund- Class A	74440N102	PBEAX	5.50		.30	1.12000		BUY,SELL
PGIM Funds (Prudential)	PGIM Jennison Value Fund- Class C	74440N300	PEICX		1.00	1.00	2.36000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Value Fund- Class R	74440N607	JDVRX			.75	1.77000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Value Fund- Class R6	74440N888	PJVQX				2.91000		SELL ONLY
PGIM Funds (Prudential)	PGIM Jennison Value Fund- Class Z	74440N805	PEIZX				0.83000		SELL ONLY
PGIM Funds (Prudential)	PGIM Muni High Income Fund-Class C	74440M302	PHICX		1.00	1.00	1.59000		SELL ONLY
PGIM Funds (Prudential)	PGIM Muni High Income Fund-Class R6	74440M609	PHIQX				0.65000		SELL ONLY
PGIM Funds (Prudential)	PGIM Muni High Income Fund-Class Z	74440M401	PHIZX				0.61000		SELL ONLY
PGIM Funds (Prudential)	PGIM National Muni Fund - Class Z	74441U402	DNMZX				0.44000		SELL ONLY
PGIM Funds (Prudential)	PGIM National Muni Fund- Class C	74441U303	PNMCX		1.00	1.00	1.48000		SELL ONLY
PGIM Funds (Prudential)	PGIM National Muni Fund- Class R6	74441U600	PNMQX				0.37000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Emerging Markets Equity Fund	74440E706	PQEMX				1.55000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA International Developed Marke	74440E607	PQDMX				0.96000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA International Equity Fund- Clas	743969859	PJRAX	5.50		.30	1.64000		BUY,SELL
PGIM Funds (Prudential)	PGIM QMA International Equity Fund- Clas	743969875	PJRCX		1.00	1.00	2.73000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PGIM Funds (Prudential)	PGIM QMA International Equity Fund- Class	743969578	PJRQX				1.05000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA International Equity Fund- Class	743969883	PJIZX				1.21000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Core Equity Fund-	74441J100	PTMAX	5.50		.30	0.83000		BUY,SELL
PGIM Funds (Prudential)	PGIM QMA Large-Cap Core Equity Fund-	74441J308	PTMCX		1.00	1.00	1.57000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Core Equity Fund-	74441J688	PTMQX				0.40000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Core Equity Fund-	74441J407	PTEZX				0.55000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Value Fund- Class	74440K108	SUVAX	5.50		.30	1.37000		BUY,SELL
PGIM Funds (Prudential)	PGIM QMA Large-Cap Value Fund- Class	74440K306	SUVCX		1.00	1.00	2.35000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Value Fund- Class	74440K736	PRVRX			.75	1.75000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Value Fund- Class	74440K538	SUVQX				3.83000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Large-Cap Value Fund- Class	74440K405	SUVZX				0.98000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Long-Short Equity Fund-Class	744336868	PLHAX	5.50		.30	2.14000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Long-Short Equity Fund-Class	744336850	PLHCX		1.00	1.00	2.84000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Long-Short Equity Fund-Class	744336736	PLHQX				1.69000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Long-Short Equity Fund-Class	744336843	PLHZX				1.75000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class A	74441L105	SPRAX	5.50		.30	1.39000		BUY,SELL
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class C	74441L303	NCBVX		1.00	1.00	2.18000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class R	74441L782	SDVRX			.75	3.70000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class R	74441L758	PMVEX			.25	34.99000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class R	74441L741	PMVFX				1.53000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class R	74441L824	PMVQX				0.86000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Mid-Cap Value Fund- Class Z	74441L709	SPVZX				0.96000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921785	TSVAX	5.50		.30	1.21000		BUY,SELL
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921710	TRACX		1.00	1.00	2.23000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921843	TSVRX			.75	1.57000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921611	PSVDX			.25	6.27000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921595	PSVKX				2.60000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921777	TSVQX				0.67000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Small-Cap Value Fund- Class	875921306	TASVX				0.74000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Stock Index Fund- Class A	74441F108	PSIAX	3.25		.30	0.60000		BUY,SELL
PGIM Funds (Prudential)	PGIM QMA Stock Index Fund- Class C	74441F306	PSICX		1.00	1.00	1.27000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Stock Index Fund- Class I	74441F405	PDSIX				0.26000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Stock Index Fund- Class R6	74441F702	PQSIX				0.30000		SELL ONLY
PGIM Funds (Prudential)	PGIM QMA Stock Index Fund- Class Z	74441F504	PSIFX				0.32000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Assets Fund- Class A	74440K819	PUDAX	5.50		.30	2.54000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Assets Fund- Class C	74440K785	PUDCX		1.00	1.00	3.68000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Assets Fund- Class R6	74440K744	PUDQX				1.49000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
PGIM Funds (Prudential)	PGIM Real Assets Fund- Class Z	74440K777	PUDZX				1.59000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Estate Income Fund- Class A	74441J761	PRKAX	5.50		.30	4.46000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Estate Income Fund- Class C	74441J753	PRKCX		1.00	1.00	5.86000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Estate Income Fund- Class R6	74441J670	PRKQX				3.93000		SELL ONLY
PGIM Funds (Prudential)	PGIM Real Estate Income Fund- Class Z	74441J746	PRKZX				2.49000		SELL ONLY
PGIM Funds (Prudential)	PGIM Securitized Credit Fund Class A	74441F801	SCFOX	3.25		.25	94.03000		SELL ONLY
PGIM Funds (Prudential)	PGIM Securitized Credit Fund Class C	74441F884	SCFVX		1.00	1.00	148.80000		SELL ONLY
PGIM Funds (Prudential)	PGIM Securitized Credit Fund Class R6	74441F868	SCFQX				146.78000		SELL ONLY
PGIM Funds (Prudential)	PGIM Securitized Credit Fund Class Z	74441F876	SCFZX				1.68000		SELL ONLY
PGIM Funds (Prudential)	PGIM Select Real Estate Fund- Class A	74441J811	SREAX	5.50		.30	2.09000		SELL ONLY
PGIM Funds (Prudential)	PGIM Select Real Estate Fund- Class C	74441J795	SRECX		1.00	1.00	5.14000		SELL ONLY
PGIM Funds (Prudential)	PGIM Select Real Estate Fund- Class R6	74441J787	SREQX				1.42000		SELL ONLY
PGIM Funds (Prudential)	PGIM Select Real Estate Fund- Class Z	74441J779	SREZX				1.61000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration High Yield Income Fu	74442J109	HYSAX	2.25		.25	1.07000		BUY,SELL
PGIM Funds (Prudential)	PGIM Short Duration High Yield Income Fu	74442J208	HYSCX		1.00	1.00	1.81000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration High Yield Income Fu	74442J406	HYSQX				0.73000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration High Yield Income Fu	74442J307	HYSZX				0.83000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration Multi-Sector Bond Fu	74440B876	SDMAX	2.25		.25	0.71000		BUY,SELL
PGIM Funds (Prudential)	PGIM Short Duration Multi-Sector Bond Fu	74440B868	SDMCX		1.00	1.00	1.58000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration Multi-Sector Bond Fu	74440B850	SDMQX				0.37000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration Multi-Sector Bond Fu	74440B843	SDMZX				0.47000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration Muni Fund- Class C	744336827	PDSCX		1.00	1.00	1.54000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration Muni Fund- Class R6	744336744	PDSQX				1.31000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short Duration Muni Fund- Class Z	744336819	PDSZX				0.52000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R102	PBSMX	2.25		.25	0.77000		BUY,SELL
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R300	PIFCX		1.00	1.00	1.48000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R409	JDTRX			.75	1.28000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R805	PIFEX			.25	6.58000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R888	PIFGX				8.45000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R607	PSTQX				0.40000		SELL ONLY
PGIM Funds (Prudential)	PGIM Short-Term Corporate Bond Fund- C	74441R508	PIFZX				0.50000		SELL ONLY
PGIM Funds (Prudential)	PGIM Strategic Bond Fund- Class A	74440K678	PUCAX	3.25		.25	1.02000		SELL ONLY
PGIM Funds (Prudential)	PGIM Strategic Bond Fund- Class C	74440K660	PUCCX		1.00	1.00	1.77000		SELL ONLY
PGIM Funds (Prudential)	PGIM Strategic Bond Fund- Class R6	74440K520	PUCQX				0.70000		SELL ONLY
PGIM Funds (Prudential)	PGIM Strategic Bond Fund- Class Z	74440K652	PUCZX				0.77000		SELL ONLY
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class A	74440B108	PDBAX	3.25		.25	0.80000		BUY,SELL
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class C	74440B306	PDBCX		1.00	1.00	1.49000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class R	74440B801	DTBRX			.75	1.29000		SELL ONLY
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class R2	74440B819	PDBRX			.25	0.96000		SELL ONLY
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class R4	74440B793	PDBSX				0.70000		SELL ONLY
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class R6	74440B884	PTRQX				0.41000		SELL ONLY
PGIM Funds (Prudential)	PGIM Total Return Bond Fund -Class Z	74440B405	PDBZX				0.52000		SELL ONLY
PGIM Funds (Prudential)	PGIM US Real Estate Fund- Class A	744336603	PJEAX	5.50		.30	1.89000		SELL ONLY
PGIM Funds (Prudential)	PGIM US Real Estate Fund- Class C	744336801	PJECX		1.00	1.00	3.20000		SELL ONLY
PGIM Funds (Prudential)	PGIM US Real Estate Fund- Class R6	744336751	PJEQX				1.51000		SELL ONLY
PGIM Funds (Prudential)	PGIM US Real Estate Fund- Class Z	744336884	PJEZX				1.42000		SELL ONLY
Phaeacian	Phaeacian Accent International Value Fund	238210306	PPIVX				1.24000		SELL ONLY
Phaeacian	Phaeacian Global Value Fund Institutional	238210207	PPGVX				1.22000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class A	72200Q232	PAUAX	5.50			2.25000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class C	72200Q216	PAUCX		1.00		3.00000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class R	72201M438	PAUPX				1.90000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Institutional	72200Q182	PAUIX				1.80000		SELL ONLY
PIMCO	PIMCO All Asset Fund Administrative Class	722005618	PAALX				1.25500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class A	72200Q711	PASAX	3.75			1.45500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class C	72200Q687	PASCX		1.00		2.20500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class I-2	72201M867	PALPX				1.10500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class R	72201F789	PATRX				1.70500		SELL ONLY
PIMCO	PIMCO All Asset Fund Institutional Class	722005626	PAAIX				1.00500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Class A	72201P332	PCFCX		1.00	1.00	1.52500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Class C	72201M859	PCIPX				0.54500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Institutional	693389769	PCIMX				0.44500		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Class A	72201U877	PCTTX	2.25		.25	0.79000		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Class C	72201U869	PCTGX		1.00	1.00	1.54000		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Class R	72201U885	PCTPX				0.54000		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Institutional	72201U802	PCTIX				0.44000		SELL ONLY
PIMCO	PIMCO California Municipal Intermediate Value Fund	72202G331	GCMVX				0.51000		SELL ONLY
PIMCO	PIMCO California Municipal Opportunistic Value Fund	72202G323	GCMFX				0.64000		SELL ONLY
PIMCO	PIMCO California Short Duration Municipal Bond Fund Class A	72201F649	PCDAX	2.25		.25	0.73000		SELL ONLY
PIMCO	PIMCO California Short Duration Municipal Bond Fund Class C	72201M420	PCDPX				0.43000		SELL ONLY
PIMCO	PIMCO California Short Duration Municipal Bond Fund Institutional	72201F656	PCDIX				0.33000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Class A	72202G240	PCEBX	2.25		.25	0.94000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Class C	72202G190	PCECX		1.00	1.00	1.69000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund I-2	72202G224	PCEPX				0.64000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Institutional Class	72202G216	PCEIX				0.54000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund	72201P159	PCLAX	5.50		.25	1.42000		BUY,SELL
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund	72201P142	PCPCX		1.00	1.00	2.17000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund	72201P167	PCLPX				1.07000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund	72201P175	PCLIX				0.97000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fu	722005659	PCRRX			.25	1.24000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fu	722005584	PCRAX	5.50		.25	1.44000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fu	722005568	PCRCX		1.00	1.00	2.19000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fu	72201M842	PCRPX				1.09000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fu	72201P225	PCSRX			.50	1.69000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fu	722005667	PCRIX				0.99000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund C	72201W451	PZCRX	3.75		.25	1.30000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund C	72201W444	PCCRX		1.00	1.00	2.05000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund C	72201W428	PPCRX				1.00000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund In	72201W394	PCARX				0.90000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Administr	72200Q570	PDAAX			.25	1.02000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Class A	72200Q661	PDVAX	3.75		.25	1.17000		BUY,SELL
PIMCO	PIMCO Diversified Income Fund Class C	72200Q646	PDICX		1.00	1.00	1.92000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Class I-2	72201M826	PDVPX				0.87000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Institution	693391880	PDIIX				0.77000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Class	72201T748	PQIZX	5.50		.25	1.15000		BUY,SELL
PIMCO	PIMCO Dividend and Income Fund Class	72201T730	PQICX		1.00	1.00	1.90000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Class	72201T714	PQIPX				0.90000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Institut	72201T672	PQIIX				0.80000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class A	72201M479	PUBAX	3.75		.25	1.23000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class C	72201M297	PUBCX		1.00	1.00	1.98000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class I-2	72201M453	PUCPX				0.93000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class R	72201M289	PUBRX			.50	1.48000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Institutional C	72201M487	PFIUX				0.83000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Cla	693391575	PAEMX	3.75		.25	1.24000		BUY,SELL
PIMCO	PIMCO Emerging Markets Bond Fund Cla	693391591	PEBCX		1.00	1.00	1.99000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Cla	72201M818	PEMPX				0.97000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Inst	693391559	PEBIX				0.87000		SELL ONLY
PIMCO	PIMCO Emerging Markets Corporate Bond	72201P522	PEMIX				0.90000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and S	72201F102	PLMAX	3.75		.25	1.27000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and S	72201M834	PLMPX				0.97000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and S	72201F409	PLMIX				0.87000		SELL ONLY
PIMCO	PIMCO Emerging Markets Full Spectrum E	72201U562	PFSIX				1.97000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PIMCO	PIMCO Emerging Markets Local Currency	72201F425	PELAX	3.75		.25	1.65000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency	72201F391	PELCX		1.00	1.00	2.40000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency	72201M396	PELPX				1.35000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency	72201F516	PELBX				1.25000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Class A	72202G133	PEGAX	3.75		.25	0.92000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Class C	72202G125	PEGBX		1.00	1.00	1.67000		SELL ONLY
PIMCO	PIMCO ESG Income Fund I-2	72202G158	PEGPX				0.62000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Institutional	72202G166	PEGIX				0.52000		SELL ONLY
PIMCO	PIMCO Extended Duration Fund Class I-2	72201M388	PEDPX				0.73000		SELL ONLY
PIMCO	PIMCO Extended Duration Fund Institutional	72201F599	PEDIX				0.63000		SELL ONLY
PIMCO	PIMCO Global Advantage Strategy Bond F	72201M321	PGSAX	3.75		.25	1.09000		SELL ONLY
PIMCO	PIMCO Global Advantage Strategy Bond F	72201M446	PSAIX				0.69000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U	693390148	PGDAX			.25	0.81000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U	693390346	PAIIX	3.75		.25	0.91000		BUY,SELL
PIMCO	PIMCO Global Bond Opportunities Fund (U	72201M750	PGNPX				0.66000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U	693390320	PCIIX		1.00	1.00	1.66000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U	693390130	PGBIX				0.56000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U	693390684	PADMX			.25	0.82000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U	72202G356	PAGPX	3.75		.25	0.97000		BUY,SELL
PIMCO	PIMCO Global Bond Opportunities Fund (U	693390874	PIGLX				0.57000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund	72201P407	PGMAX	5.50			1.58000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund	72201P506	PGMCX		1.00		2.33000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund	72201P605	PGAPX				1.23000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund	72201P100	PGAIX				1.13000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities	693391476	PAGNX	3.75		.25	0.91000		BUY,SELL
PIMCO	PIMCO GNMA and Government Securities	693391492	PCGNX		1.00	1.00	1.66000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities	72201M743	PPGNX				0.61000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities	693391450	PDMIX				0.51000		SELL ONLY
PIMCO	PIMCO High Yield Fund Administrative Cla	693390650	PHYAX			.25	0.81000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class A	693390379	PHDAX	3.75		.25	0.91000		BUY,SELL
PIMCO	PIMCO High Yield Fund Class C	693390353	PHDCX		1.00	1.00	1.66000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class I-2	72201M735	PHLPX				0.66000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class R	72200Q794	PHYRX			.50	1.16000		SELL ONLY
PIMCO	PIMCO High Yield Fund Institutional Class	693390841	PHIYX				0.56000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund C	72201F524	PYMCX		1.00	1.00	1.62000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund C	72201M727	PYMPX				0.67000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund In	72201F672	PHMIX				0.57000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PIMCO	PIMCO High Yield Spectrum Fund Class A	72201W600	PHSAX	3.75		.25	0.97000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Class C	72201W709	PHSCX		1.00	1.00	1.72000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Class I	72201W303	PHSPX				0.72000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Institutional	72201W204	PHSIX				0.62000		SELL ONLY
PIMCO	PIMCO Income Fund Administrative Class	72201F482	PIINX			.25	0.87000		SELL ONLY
PIMCO	PIMCO Income Fund Class A	72201F474	PONAX	3.75		.25	1.02000		BUY,SELL
PIMCO	PIMCO Income Fund Class C	72201F466	PONCX		1.00	1.00	1.77000		SELL ONLY
PIMCO	PIMCO Income Fund Class I-2	72201M719	PONPX				0.72000		SELL ONLY
PIMCO	PIMCO Income Fund Class R	72201F441	PONRX			.50	1.27000		SELL ONLY
PIMCO	PIMCO Income Fund Institutional Class	72201F490	PIMIX				0.62000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund	72201W386	PZRMX	5.50		.25	1.38000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund	72201W352	PPRMX				1.03000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund	72201W337	PIRMX				0.93000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar)	693390692	PFRAX			.25	0.77000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar)	693391245	PFOAX	3.75		.25	0.92000		BUY,SELL
PIMCO	PIMCO International Bond Fund (U.S. Dollar)	693391260	PFOCX		1.00	1.00	1.67000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar)	72201M784	PFBPX				0.62000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar)	72200Q828	PFRRX			.50	1.17000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar)	693390882	PFORX				0.52000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged)	72201F771	PFUUX			.25	0.77000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged)	722005196	PFUAX	3.75		.25	0.92000		BUY,SELL
PIMCO	PIMCO International Bond Fund (Unhedged)	722005188	PFRCX		1.00	1.00	1.67000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged)	72201M776	PFUPX				0.62000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged)	722005220	PFUIX				0.52000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund	722005592	PGCAX			.25	0.77000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund	722008307	PBDAX	3.75		.25	0.92000		BUY,SELL
PIMCO	PIMCO Investment Grade Credit Bond Fund	722008406	PBDCX		1.00	1.00	1.67000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund	72201M685	PBDPX				0.62000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund	722005816	PIGIX				0.52000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund (C)	72202G372	PLRAX	3.75		.25	0.99000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund (C)	72202G364	PLRCX		1.00	1.00	1.74000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund (C)	72201M362	PLRPX				0.69000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund (I)	72201F623	PLRIX				0.59000		SELL ONLY
PIMCO	PIMCO Long-Term Credit Bond Fund Class	72201P621	PLCPX				0.69000		SELL ONLY
PIMCO	PIMCO Long-Term Credit Bond Fund Institutional	72201P647	PTCIX				0.59000		SELL ONLY
PIMCO	PIMCO Long-Term Real Return Fund Class	72201W816	P RTPX				0.70000		SELL ONLY
PIMCO	PIMCO Long-Term Real Return Fund Institutional	72200Q505	PRAIX				0.60000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PIMCO	PIMCO Long-Term U.S. Government Fund	693390775	PLGBX			.25	0.81500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund	693391187	PFGAX	3.75		.25	0.91500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund	693391203	PFGCX		1.00	1.00	1.66500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund	72201M677	PLTPX				0.66500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund	693390205	PGOVX				0.56500		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Class A	72201W758	PSRZX	2.25		.25	1.03000		BUY,SELL
PIMCO	PIMCO Low Duration Credit Fund Class C	72201W741	PSRWX		1.00	1.00	1.78000		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Class I-2	72201W782	PSRPX				0.83000		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Institutional	72201W790	PSRIX				0.73000		SELL ONLY
PIMCO	PIMCO Low Duration ESG Fund Class I-2	72201W824	PLUPX				0.60000		SELL ONLY
PIMCO	PIMCO Low Duration ESG Fund Institutional	693390858	PLDIX				0.50000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Administrative	693390767	PLDAX			.25	0.71000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class A	693390411	PTLAX	2.25		.25	0.75000		BUY,SELL
PIMCO	PIMCO Low Duration Fund Class C	693390387	PTLCX		1.00	.55	1.10000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class I-2	72201M669	PLDPX				0.56000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class R	72200Q869	PLDRX			.50	1.05000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Institutional Class	693390304	PTLDX				0.46000		SELL ONLY
PIMCO	PIMCO Low Duration II Fund Administrative	693390668	PDFAX			.25	0.75000		SELL ONLY
PIMCO	PIMCO Low Duration II Fund Institutional Class	693390791	PLDTX				0.50000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Class A	722005162	PFIAX	2.25		.25	0.94000		BUY,SELL
PIMCO	PIMCO Low Duration Income Fund Class C	722005154	PFNCX		1.00	.55	1.24000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Class I-2	72201M792	PFTPX				0.64000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Institutional	722005170	PFIIX				0.54000		SELL ONLY
PIMCO	PIMCO Moderate Duration Fund Class I-2	72201P233	PMOPX				0.56000		SELL ONLY
PIMCO	PIMCO Moderate Duration Fund Institutional	693390593	PMDRX				0.46000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond	72201U679	PMZAX	3.75		.25	1.08000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond	72201U661	PMZCX		1.00	1.00	1.83000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond	72201U646	PMZPX				0.78000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond	72201U638	PMZIX				0.68000		SELL ONLY
PIMCO	PIMCO Mortgage-Backed Securities Fund	693391526	PMRAX	3.75		.25	0.92000		SELL ONLY
PIMCO	PIMCO Mortgage-Backed Securities Fund	693391542	PMRCX		1.00	1.00	1.67000		SELL ONLY
PIMCO	PIMCO Mortgage-Backed Securities Fund	72201M651	PMRPX				0.62000		SELL ONLY
PIMCO	PIMCO Mortgage-Backed Securities Fund	693391500	PTRIX				0.52000		SELL ONLY
PIMCO	PIMCO Municipal Bond Fund Class C	693391633	PMLCX		1.00	.75	1.27000		SELL ONLY
PIMCO	PIMCO Municipal Bond Fund Class I-2	72201M644	PMUPX				0.56000		SELL ONLY
PIMCO	PIMCO Municipal Bond Fund Institutional Class	693391658	PFMIX				0.46000		SELL ONLY
PIMCO	PIMCO National Intermediate Municipal Bond	72201U406	PMNNX		1.00	.75	1.30000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
PIMCO	PIMCO National Intermediate Municipal Bd	72201U208	PMNPX				0.55000		SELL ONLY
PIMCO	PIMCO National Intermediate Municipal Bd	72201U109	PMNIX				0.45000		SELL ONLY
PIMCO	PIMCO National Municipal Intermediate Va	72202G315	GNMVX				0.51000		SELL ONLY
PIMCO	PIMCO National Municipal Opportunistic V	72202G299	GNMFX				0.65000		SELL ONLY
PIMCO	PIMCO New York Municipal Bond Fund Cl	72201P340	PBFCX		1.00	1.00	1.52500		SELL ONLY
PIMCO	PIMCO New York Municipal Bond Fund Ins	693389710	PNYIX				0.44500		SELL ONLY
PIMCO	PIMCO New York Municipal Fund Class I-2	72201M347	PNYPX				0.54500		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities F	72202E666	PFANX	3.75		.25	1.26000		BUY,SELL
PIMCO	PIMCO Preferred and Capital Securities F	72202G281	PFCJX		1.00	1.00	2.01000		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities F	72202E658	PFPNX				1.01000		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities F	72202E682	PFINX				0.91000		SELL ONLY
PIMCO	PIMCO RAE Emerging Markets Fund Clas	72202L678	PEAFX	3.75		.25	1.12000		BUY,SELL
PIMCO	PIMCO RAE Emerging Markets Fund Clas	72202L652	PEPFX				0.87000		SELL ONLY
PIMCO	PIMCO RAE Emerging Markets Fund Insti	72202L645	PEIFX				0.77000		SELL ONLY
PIMCO	PIMCO RAE Fundamental Advantage PLU	72201M164	PTFAX	3.75		.25	1.31000		SELL ONLY
PIMCO	PIMCO RAE Fundamental Advantage PLU	72201F110	PFATX				0.91000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Class A	72202L587	PZRAX	3.75		.25	1.50000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Class I-2	72202L561	PZRPX				1.25000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Institution	72202L553	PZRIX				1.15000		SELL ONLY
PIMCO	PIMCO RAE Global Fund Class A	72202L637	PFQAX	3.75		.25	1.37000		BUY,SELL
PIMCO	PIMCO RAE Global Fund Class I-2	72202L611	PFQPX				1.12000		SELL ONLY
PIMCO	PIMCO RAE Global Fund Institutional Clas	72202L595	PFQIX				1.02000		SELL ONLY
PIMCO	PIMCO RAE International Fund Class A	72202L546	PPYAX	3.75		.25	0.87000		BUY,SELL
PIMCO	PIMCO RAE International Fund Class I-2	72202L520	PPYPX				0.62000		SELL ONLY
PIMCO	PIMCO RAE International Fund Institutiona	72202L512	PPYIX				0.52000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class A	72201U539	PEFFX	3.75		.25	1.54000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class C	72201U521	PEFCX		1.00	1.00	2.29000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class I-2	72201M115	PEFPX				1.24000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Institutiona	72201M131	PEFIX				1.14000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class A	72201F888	PIXAX	3.75		.25	1.20000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class C	72201F870	PIXCX		1.00	1.00	1.95000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class I-2	72201M768	PIXPX				0.90000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Institutional Clas	72201F854	PXTIX				0.80000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Clas	72201W139	PTSOX	3.75		.25	1.18000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Clas	72201U232	PTIPX				0.93000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Inst	72201W667	PTSIX				0.83000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class A	72201U265	PCFAX	3.75		.25	1.21000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
PIMCO	PIMCO RAE PLUS Small Fund Class C	72201U257	PCFEX		1.00	1.00	1.96000		SELL ONLY	
PIMCO	PIMCO RAE PLUS Small Fund Class I-2	72201U224	PCCPX				0.96000		SELL ONLY	
PIMCO	PIMCO RAE PLUS Small Fund Institutional	72201W675	PCFIX				0.86000		SELL ONLY	
PIMCO	PIMCO RAE US Fund Class A	72202L496	PKAAX	3.75		.25	0.82000		BUY,SELL	
PIMCO	PIMCO RAE US Fund Class I-2	72202L470	PKAPX				0.52000		SELL ONLY	
PIMCO	PIMCO RAE US Fund Institutional Class	72202L462	PKAIX				0.42000		SELL ONLY	
PIMCO	PIMCO RAE US Small Fund Class A	72202L454	PMJAX	3.75		.25	0.94000		BUY,SELL	
PIMCO	PIMCO RAE US Small Fund Class I-2	72202L439	PMJPX				0.64000		SELL ONLY	
PIMCO	PIMCO RAE US Small Fund Institutional C	72202L421	PMJIX				0.54000		SELL ONLY	
PIMCO	PIMCO RAE Worldwide Long/Short PLUS	72202G273	PWLBX	5.50		.25	1.61000		SELL ONLY	
PIMCO	PIMCO RAE Worldwide Long/Short PLUS	72202G265	PWLEX		1.00	1.00	2.36000		SELL ONLY	
PIMCO	PIMCO RAE Worldwide Long/Short PLUS	72202G257	PWLMX				1.31000		SELL ONLY	
PIMCO	PIMCO RAE Worldwide Long/Short PLUS	72202E609	PWLIX				1.21000		SELL ONLY	
PIMCO	PIMCO Real Return Fund Administrative C	693391112	PARRX			.25	0.72000		SELL ONLY	
PIMCO	PIMCO Real Return Fund Class A	693391120	PRTNX	3.75		.25	0.87000		BUY,SELL	
PIMCO	PIMCO Real Return Fund Class C	693391146	PRTCX		1.00	.75	1.37000		SELL ONLY	
PIMCO	PIMCO Real Return Fund Class I-2	72201M636	PRLPX				0.57000		SELL ONLY	
PIMCO	PIMCO Real Return Fund Class R	72200Q760	PRRRX			.50	1.12000		SELL ONLY	
PIMCO	PIMCO Real Return Fund Institutional Clas	693391104	PRRIX				0.47000		SELL ONLY	
PIMCO	PIMCO RealEstateRealReturn Strategy Fu	72200Q299	PETAX	5.50		.25	1.25000		SELL ONLY	
PIMCO	PIMCO RealEstateRealReturn Strategy Fu	72200Q273	PETCX		1.00	1.00	2.00000		SELL ONLY	
PIMCO	PIMCO RealEstateRealReturn Strategy Fu	72201M628	PETPX				0.95000		SELL ONLY	
PIMCO	PIMCO RealEstateRealReturn Strategy Fu	72200Q257	PRRSX				0.85000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2025 Fund Admin	72202L801	PPZDX			.25	0.62000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2025 Fund Class	72202L702	PPZAX	5.50		.25	0.87000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2025 Fund Institut	72202L884	PPZRX				0.37000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2030 Fund Admin	72202L868	PBPRX			.25	0.56000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2030 Fund Class	72202L876	PBPAX	5.50		.25	0.81000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2030 Fund Institut	72202L850	PBPNX				0.31000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2035 Fund Admin	72202L835	PDGDX			.25	0.52000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2035 Fund Class	72202L843	PDGAX	5.50		.25	0.77000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2035 Fund Institut	72202L827	PDGZX				0.27000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2040 Fund Admin	72202L793	PVPRX			.25	0.48000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2040 Fund Class	72202L819	PVPAX	5.50		.25	0.73000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2040 Fund Institut	72202L785	PVPNX				0.23000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2045 Fund Admin	72202L769	PVQDX			.25	0.44000		SELL ONLY	
PIMCO	PIMCO RealPath Blend 2045 Fund Class	72202L777	PVQAX	5.50		.25	0.69000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PIMCO	PIMCO RealPath Blend 2045 Fund Institut	72202L751	PVQNX				0.19000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2050 Fund Admin	72202L736	PPQDX			.25	0.41000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2050 Fund Class	72202L744	PPQAX	5.50		.25	0.66000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2050 Fund Institut	72202L728	PPQZX				0.16000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Admin	72202L694	PRQDX			.25	0.41000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Class	72202L710	PRQAX	5.50		.25	0.66000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Institut	72202L686	PRQZX				0.16000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Admin	72202L322	PRBEX			.25	0.40000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Class	72202L348	PRBAX	5.50		.25	0.65000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Institut	72202L314	PRBMX				0.15000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Adm	72202L207	PBRDX			.25	0.67000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Clas	72202L108	PBRAX	5.50		.25	0.92000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Insti	72202L306	PBRNX				0.42000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Adm	72201U786	PAIQX			.25	0.59000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Clas	72201U794	PAIAX			.25	0.69000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Clas	72201U810	PAIPX				0.44000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Insti	72201U828	PAIDX				0.34000		SELL ONLY
PIMCO	PIMCO Short Duration Municipal Income F	693389868	PSDCX		1.00	.55	1.03000		SELL ONLY
PIMCO	PIMCO Short Duration Municipal Income F	72201M610	PSDPX				0.43000		SELL ONLY
PIMCO	PIMCO Short Duration Municipal Income F	693389827	PSDIX				0.33000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Administrative C	693390734	PSFAX			.25	0.72000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class A	693391211	PSHAX	2.25		.25	0.72000		BUY,SELL
PIMCO	PIMCO Short-Term Fund Class C	693391237	PFTCX		1.00	.55	1.02000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class I-2	72201M594	PTSPX				0.57000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class R	72200Q877	PTSRX			.50	0.97000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Institutional Clas	693390601	PTSHX				0.47000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fu	72200Q620	PTOAX	3.75		.25	1.05000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fu	72200Q596	PSOCX		1.00	1.00	1.80000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fu	72201M560	PTOPX				0.75000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fu	722005642	PSPTX				0.65000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Administrative	693390759	PPLAX			.25	0.76000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class A	693391393	PSPAX	3.75		.25	0.91000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class C	693391419	PSPCX		1.00	.75	1.41000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class I-2	72201M578	PSKPX				0.61000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class R	72200Q729	PSPRX			.50	1.16000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Institutional C	693390403	PSTKX				0.51000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72200Q430	PIPAX	3.75		.25	1.18000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
PIMCO	PIMCO StocksPLUS? International Fund (72200Q414	PIPCX		1.00	1.00	1.93000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72201M370	PIUHX				0.88000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72200Q380	PISIX				0.78000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72201F557	PPUAX	3.75		.25	1.05000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72201F540	PPUCX		1.00	1.00	1.80000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72201M693	PPLPX				0.75000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (72201F573	PSKIX				0.65000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Long Duration Fund	72201F433	PSLDX				0.61000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class A	72201F763	PSSAX	3.75		.25	1.12000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class C	72201F755	PSSCX		1.00	1.00	1.87000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class I-	72201M339	PSPLX				0.82000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Institutio	693390486	PSTIX				0.72000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Adminis	72201U216	PCKTX			.25	0.95000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class A	72201F698	PCKAX	3.75		.25	1.10000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class C	72201F680	PCKCX		1.00	1.00	1.85000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class I-	72201M586	PCKPX				0.80000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Institutio	72201F797	PSCSX				0.70000		SELL ONLY
PIMCO	PIMCO Strategic Bond Fund Class A	72201P738	ATMAX	3.75		.25	0.97000		SELL ONLY
PIMCO	PIMCO Strategic Bond Fund Class C	72201P720	ATMCX		1.00	1.00	1.72000		SELL ONLY
PIMCO	PIMCO Strategic Bond Fund Class I-2	72201P753	PUTPX				0.67000		SELL ONLY
PIMCO	PIMCO Strategic Bond Fund Institutional C	72201P746	PUTIX				0.57000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Administra	693390627	PRFAX			.25	0.78000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Class A	72202G182	PTGAX	2.25		.25	0.93000		BUY,SELL
PIMCO	PIMCO Total Return ESG Fund Class C	72202G174	PTGCX		1.00	1.00	1.68000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Class I-2	72201P597	PRAPX				0.63000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Institutional	693390866	PTSAX				0.53000		SELL ONLY
PIMCO	PIMCO Total Return Fund Administrative C	693390726	PTRAX			.25	0.72000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class A	693390445	PTTAX	3.75		.25	0.81000		BUY,SELL
PIMCO	PIMCO Total Return Fund Class C	693390429	PTTCX		1.00	1.00	1.56000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class I-2	72201M552	PTTPX				0.57000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class R	72200Q851	PTRRX			.50	1.06000		SELL ONLY
PIMCO	PIMCO Total Return Fund Institutional Cla	693390700	PTTRX				0.47000		SELL ONLY
PIMCO	PIMCO Total Return Fund IV Class A	72201W691	PTUZX	3.75		.25	0.87000		BUY,SELL
PIMCO	PIMCO Total Return Fund IV Institutional C	72201W717	PTUIX				0.52000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Administrative	693390544	PRADX			.25	0.75000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Class I-2	72201P258	PMTPX				0.60000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Institutional C	693390551	PMBIX				0.50000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
PIMCO	PIMCO TRENDS Managed Futures Strate	72201U497	PQTAX	5.50		.25	2.05000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strate	72201U463	PQTPX				1.75000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strate	72201U455	PQTIX				1.65000		SELL ONLY
Polaris Funds	Polaris Global Value Fund	349903484	PGVFX				1.24000	1.00	SELL ONLY
Praxis Mutual Funds	Praxis Genesis Balanced Portfolio Class A	74006E876	MBAPX	5.25		.25	0.97000		SELL ONLY
Praxis Mutual Funds	Praxis Genesis Conservative Portfolio Clas	74006E884	MCONX	5.25		.25	1.09000		SELL ONLY
Praxis Mutual Funds	Praxis Genesis Growth Portfolio Class A	74006E751	MGAFX	5.25		.25	1.01000		SELL ONLY
Praxis Mutual Funds	Praxis Growth Index Fund Class A	74006E843	MGNDX	5.25		.25	0.69000		SELL ONLY
Praxis Mutual Funds	Praxis Growth Index Fund Class I	74006E868	MMDEX				0.37000		SELL ONLY
Praxis Mutual Funds	Praxis Impact Bond Fund Class A	74006E504	MIIAX			.25	0.90000		SELL ONLY
Praxis Mutual Funds	Praxis Impact Bond Fund Class I	74006E769	MIIIX				0.50000		SELL ONLY
Praxis Mutual Funds	Praxis International Index Fund Class A	74006E801	MPLAX	5.25		.25	1.30000		SELL ONLY
Praxis Mutual Funds	Praxis International Index Fund Class I	74006E702	MPLIX				0.61000		SELL ONLY
Praxis Mutual Funds	Praxis Small Cap Index Fund Class A	74006E793	MMSCX	5.25		.25	1.37000		SELL ONLY
Praxis Mutual Funds	Praxis Small Cap Index Fund Class I	74006E827	MMSIX				0.45000		SELL ONLY
Praxis Mutual Funds	Praxis Value Index Fund Class A	74006E603	MVIAX	5.25		.25	0.87000		SELL ONLY
Praxis Mutual Funds	Praxis Value Index Fund Class I	74006E785	MVIIX				0.40000		SELL ONLY
PRIMECAP Odyssey Fu	PRIMECAP Odyssey Aggressive Growth F	74160Q202	POAGX				0.65000		SELL ONLY
PRIMECAP Odyssey Fu	PRIMECAP Odyssey Growth Fund	74160Q103	POGRX				0.65000		SELL ONLY
PRIMECAP Odyssey Fu	PRIMECAP Odyssey Stock Fund	74160Q301	POSKX				0.66000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Class A	74255L472	PBLAX	5.50		.25	0.98000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Class C	74255L464	PBLCX		1.00	1.00	1.71000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Class R-6	74256W535	PGBHX				0.60000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Institutional Class	74255L589	PBCKX				0.71000		SELL ONLY
Principal Funds	Principal Bond Market Index Institutional C	742553316	PNIIX				0.16000		SELL ONLY
Principal Funds	Principal California Municipal Fund Class C	74254V679	SRCCX		1.00	1.00	1.60000		SELL ONLY
Principal Funds	Principal California Municipal Fund Instituti	742537459	PCMFY				0.58000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Class	74254V349	CMNWX	5.50		.25	0.83000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Class	74254V323	CMNCX		1.00	1.00	1.67000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Institut	74254U432	PWCIX				0.51000		SELL ONLY
Principal Funds	Principal Core Fixed Income Fund Class A	74254V638	CMPIX	2.25		.25	0.79000		BUY,SELL
Principal Funds	Principal Core Fixed Income Fund Class C	74254V612	CNMCX		1.00	1.00	1.60000		SELL ONLY
Principal Funds	Principal Core Fixed Income Fund Class F	742537616	PICNX				0.42000		SELL ONLY
Principal Funds	Principal Core Fixed Income Fund Instituti	74254U473	PIOIX				0.55000		SELL ONLY
Principal Funds	Principal Core Plus Bond Fund Class A	74254T245	PRBDX	3.75		.25	1.03000		BUY,SELL
Principal Funds	Principal Core Plus Bond Fund Institutional	74253M159	PMSIX				0.70000		SELL ONLY
Principal Funds	Principal Diversified International Fund Cla	74254T328	PRWLX	5.50		.25	1.20000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Principal Funds	Principal Diversified International Fund Cla	74254V810	PDNCX		1.00	1.00	2.17000		SELL ONLY	
Principal Funds	Principal Diversified International Fund Cla	74257B811	PDIFX				0.73000		SELL ONLY	
Principal Funds	Principal Diversified International Fund Ins	74253Q879	PIIIX				0.85000		SELL ONLY	
Principal Funds	Principal Diversified Real Asset Fund Clas	74254V182	PRDAX	3.75		.25	1.31000		SELL ONLY	
Principal Funds	Principal Diversified Real Asset Fund Clas	742537467	PDARX				0.85000		SELL ONLY	
Principal Funds	Principal Diversified Real Asset Fund Instit	74254V166	PDRDX				0.94000		SELL ONLY	
Principal Funds	Principal Edge MidCap Fund Class A	74257B308	PEMCX	5.50	1.00	.25	1.45000		SELL ONLY	
Principal Funds	Principal Edge MidCap Fund Class Institut	742537426	PEDGX				0.87000		SELL ONLY	
Principal Funds	Principal Edge MidCap Fund R-6	74256W527	PEDMX				0.70000		SELL ONLY	
Principal Funds	Principal Equity Income Fund Class A	74254V869	PQIAX	5.50		.25	0.88000		SELL ONLY	
Principal Funds	Principal Equity Income Fund Class C	74254V844	PEUCX		1.00	1.00	1.63000		SELL ONLY	
Principal Funds	Principal Equity Income Fund Institutional C	74254U499	PEIIX				0.54000		SELL ONLY	
Principal Funds	Principal Finisterre Emerging Markets Tot	74255L191	PFUEX	3.75		.25	2.46000		SELL ONLY	
Principal Funds	Principal Finisterre Emerging Markets Tot	74255L175	PFUMX				0.93000		SELL ONLY	
Principal Funds	Principal Global Diversified Income Fund C	74254V224	PGBAX	3.75		.25	1.09000		BUY,SELL	
Principal Funds	Principal Global Diversified Income Fund C	74254V216	PGDCX		1.00	1.00	1.85000		SELL ONLY	
Principal Funds	Principal Global Diversified Income Fund C	742537244	PGBLX				0.75000		SELL ONLY	
Principal Funds	Principal Global Diversified Income Fund I	74254V232	PGDIX				0.84000		SELL ONLY	
Principal Funds	Principal Global Multi-Strategy Fund Class	74255L720	PMSAX	3.75		.25	3.73000		SELL ONLY	
Principal Funds	Principal Global Multi-Strategy Fund Institu	74255L696	PSMIX				3.37000		SELL ONLY	
Principal Funds	Principal Global Multi-Strategy Fund R-6	742537236	PGLSX				3.26000		SELL ONLY	
Principal Funds	Principal Global Real Estate Securities Fur	74254V299	POSAX	5.50		.25	1.33000		SELL ONLY	
Principal Funds	Principal Global Real Estate Securities Fur	74254V281	POSCX		1.00	1.00	2.12000		SELL ONLY	
Principal Funds	Principal Global Real Estate Securities Fur	742537624	PGRSX				0.88000		SELL ONLY	
Principal Funds	Principal Global Real Estate Securities Fur	74254V273	POSIX				1.03000		SELL ONLY	
Principal Funds	Principal Government & High Quality Bond	74254V372	CMPGX	2.25		.15	0.78000		BUY,SELL	
Principal Funds	Principal Government & High Quality Bond	74254V356	CCUGX		1.00	1.00	1.70000		SELL ONLY	
Principal Funds	Principal Government & High Quality Bond	74254U457	PMRIX				0.52000		SELL ONLY	
Principal Funds	Principal High Income Fund Class Institutional	74254R637	PYHIX				0.63000		SELL ONLY	
Principal Funds	Principal High Yield Fund Class A	74254V661	CPHYX	3.75		.25	0.92000		BUY,SELL	
Principal Funds	Principal High Yield Fund Class C	74254V646	CCHIX		1.00	1.00	1.66000		SELL ONLY	
Principal Funds	Principal High Yield Fund Class R-6	74256W626	PHYFX				0.53000		SELL ONLY	
Principal Funds	Principal High Yield Fund Institutional Clas	74254U481	PHYTX				0.65000		SELL ONLY	
Principal Funds	Principal Inflation Protection Fund Institutio	74254T815	PIPIX				0.39000		SELL ONLY	
Principal Funds	Principal International Emerging Markets F	74254T294	PRIAX	5.50		.25	1.67000		SELL ONLY	
Principal Funds	Principal International Emerging Markets F	74254U754	PMKCX		1.00	1.00	2.73000		SELL ONLY	
Principal Funds	Principal International Emerging Markets F	74256W618	PIIMX				1.40000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Principal Funds	Principal International Emerging Markets F	74253Q804	PIEIX				1.36000		SELL ONLY
Principal Funds	Principal International Equity Index Fund I	742553324	PIDIX				0.44000		SELL ONLY
Principal Funds	Principal International Equity Index Fund R	74256W519	PFIEX				0.31000		SELL ONLY
Principal Funds	Principal International Fund I Class R-6	74256W592	PIIDX				0.79000		SELL ONLY
Principal Funds	Principal International Fund I Institutional C	74253Q226	PINIX				0.93000		SELL ONLY
Principal Funds	Principal International Small Company Fur	742537475	PISMX				1.20000		SELL ONLY
Principal Funds	Principal International Small Company Fur	74256W493	PFISX				1.08000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Class A	74255L480	PLGAX	5.50		.25	1.01000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Class R	742537590	PLCGX				0.61000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Institutio	74253J784	PLGIX				0.70000		SELL ONLY
Principal Funds	Principal LargeCap S&P 500 Index Fund C	74254T476	PLSAX	1.50		.15	0.42000		BUY,SELL
Principal Funds	Principal LargeCap S&P 500 Index Fund C	74254U747	PLICX		1.00	1.00	1.30000		SELL ONLY
Principal Funds	Principal LargeCap S&P 500 Index Fund I	74253Q788	PLFIX				0.17000		SELL ONLY
Principal Funds	Principal LargeCap Value Fund III Institutio	74253J677	PLVIX				0.79000		SELL ONLY
Principal Funds	Principal LifeTime 2010 Fund Class A	74254T120	PENAX	3.75		.25	0.88000		SELL ONLY
Principal Funds	Principal LifeTime 2010 Fund Institutional C	74253M548	PTTIX				0.48000		SELL ONLY
Principal Funds	Principal LifeTime 2015 Fund Institutional C	742553605	LTINX				0.51000		SELL ONLY
Principal Funds	Principal LifeTime 2020 Fund Class A	74254U101	PTBAX	5.50		.25	0.86000		BUY,SELL
Principal Funds	Principal LifeTime 2020 Fund Institutional C	74253M464	PLWIX				0.51000		SELL ONLY
Principal Funds	Principal LifeTime 2025 Fund Institutional C	742553738	LTSTX				0.54000		SELL ONLY
Principal Funds	Principal LifeTime 2030 Fund Class A	74254U309	PTCAX	5.50		.25	0.94000		SELL ONLY
Principal Funds	Principal LifeTime 2030 Fund Institutional C	74253M399	PMTIX				0.57000		SELL ONLY
Principal Funds	Principal LifeTime 2035 Fund Institutional C	742553720	LTIUX				0.60000		SELL ONLY
Principal Funds	Principal LifeTime 2040 Fund Class A	74254U507	PTDAX	5.50		.00	1.01000		BUY,SELL
Principal Funds	Principal LifeTime 2040 Fund Institutional C	74253M332	PTDIX				0.62000		SELL ONLY
Principal Funds	Principal LifeTime 2045 Fund Institutional C	742553746	LTRIX				0.64000		SELL ONLY
Principal Funds	Principal LifeTime 2050 Fund Class A	74254U705	PPEAX	5.50		.25	1.10000		BUY,SELL
Principal Funds	Principal LifeTime 2050 Fund Institutional C	74253M266	PPLIX				0.65000		SELL ONLY
Principal Funds	Principal LifeTime 2055 Fund Institutional C	742553712	LTFIX				0.67000		SELL ONLY
Principal Funds	Principal LifeTime 2060 Fund Institutional C	74255L563	PLTZX				0.68000		SELL ONLY
Principal Funds	Principal LifeTime 2065 Institutional Class	74256W238	PLJIX				0.84000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2015 Fund Instit	74255L365	PHTMX				0.45000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2015 Fund R-6	74256W105	PLRRX				0.37000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2020 Fund Instit	74255L332	PHTTX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2020 Fund R-6	74256W204	PLTTX				0.34000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2025 Fund Instit	74255L290	PHTQX				0.39000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2025 Fund R-6	74256W303	PLFTX				0.34000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio	Fee	
Principal Funds	Principal LifeTime Hybrid 2030 Fund Institu	74255L266	PHTNX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2030 Fund R-6	74256W402	PLZTX				0.35000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2035 Fund Institu	74255L233	PHTJX				0.42000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2035 Fund R-6	74256W501	PLRTX				0.37000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2040 Fund Institu	742537780	PLTQX				0.44000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2040 Fund R-6	74256W600	PLMTX				0.39000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2045 Fund Institu	742537756	PHTYX				0.47000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2045 Fund R-6	74256W709	PLNTX				0.41000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2050 Fund Institu	742537723	PHTUX				0.47000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2050 Fund R-6	74256W808	PLJTX				0.42000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2055 Fund Institu	742537681	PLTNX				0.59000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2055 Fund R-6	74256W881	PLHTX				0.50000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2060 Fund Institu	742537657	PLTHX				0.98000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2060 Fund R-6	74256W873	PLKTX				0.72000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2065 Class R-6	74256W154	PLHRX				3.25000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2065 Institutional	74256W162	PLHHX				7.31000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid Income Fund Ins	74255L399	PHTFX				0.52000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid Income Fund R-6	74256W865	PLTYX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Strategic Income Fund	74254T138	PALTX	3.75		.15	0.97000		SELL ONLY
Principal Funds	Principal LifeTime Strategic Income Fund	74253M191	PLSIX				0.46000		SELL ONLY
Principal Funds	Principal MidCap Fund Class A	74254T443	PEMGX	5.50		.25	0.95000		BUY,SELL
Principal Funds	Principal MidCap Fund Class C	74254U721	PMBCX		1.00	1.00	1.69000		SELL ONLY
Principal Funds	PRINCIPAL MIDCAP FUND Class R-6	74256W584	PMAQX				0.60000		SELL ONLY
Principal Funds	Principal MidCap Fund Institutional Class	74253Q747	PCBIX				0.69000		SELL ONLY
Principal Funds	Principal MidCap Growth Fund III Institutio	74253Q614	PPIMX				0.89000		SELL ONLY
Principal Funds	Principal MidCap Growth Fund Institutional	74253Q721	PGWIX				0.78000		SELL ONLY
Principal Funds	Principal MidCap S&P 400 Index Fund Cla	74256W576	PMAPX				0.16000		SELL ONLY
Principal Funds	Principal MidCap S&P 400 Index Fund Ins	74253Q697	MPSIX				0.23000		SELL ONLY
Principal Funds	Principal MidCap Value Fund I Class A	74257B662	PCMVX	5.50		.25	1.29000		SELL ONLY
Principal Funds	Principal MidCap Value Fund I Class R-6	74257B654	PCMSX				0.66000		SELL ONLY
Principal Funds	Principal MidCap Value Fund I Institutional	74253Q192	PVMIX				0.81000		SELL ONLY
Principal Funds	Principal Opportunistic Municipal Fund Cla	74255L639	PMOAX	3.75		.25	0.99000		SELL ONLY
Principal Funds	Principal Opportunistic Municipal Fund Ins	742537442	POMFX				0.73000		SELL ONLY
Principal Funds	Principal Origin Emerging Markets Fund C	742537517	POEYX	5.50		.25	2.56000		SELL ONLY
Principal Funds	Principal Origin Emerging Markets Fund C	742537483	POEFX				1.07000		SELL ONLY
Principal Funds	Principal Origin Emerging Markets Fund In	742537491	POEIX				1.29000		SELL ONLY
Principal Funds	Principal Overseas Fund Institutional Class	742553571	PINZX				0.98000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption Fee	Buy/Sell Eligible
							Expense Ratio		
Principal Funds	Principal Real Estate Securities Fund Clas	74254T278	PRRAX	5.50		.25	1.24000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Clas	74254V786	PRCEX		1.00	1.00	2.02000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Clas	74256W568	PFRSX				0.81000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Instit	74253Q580	PIREX				0.92000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Class A	74254V562	SRHQX	2.25		.15	0.66000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Class C	74254V554	STCCX		1.00	1.00	1.55000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Instituti	74254U440	PSHIX				0.43000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class A	74254T369	PLLAX	5.50		.25	1.18000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class C	74254U523	PSMCX		1.00	1.00	2.03000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class R-6	74256W550	PSMLX				0.78000		SELL ONLY
Principal Funds	Principal SmallCap Fund Institutional Class	74253Q564	PSLIX				0.87000		SELL ONLY
Principal Funds	Principal SmallCap Growth Fund I Class R	742537574	PCSMX				0.86000		SELL ONLY
Principal Funds	Principal SmallCap Growth Fund I Institutio	74253J461	PGRTX				0.96000		SELL ONLY
Principal Funds	Principal SmallCap S&P 600 Index Fund C	74256W543	PSPIX				0.16000		SELL ONLY
Principal Funds	Principal SmallCap S&P 600 Index Fund Ir	74253Q523	PSSIX				0.24000		SELL ONLY
Principal Funds	Principal SmallCap Value Fund II Class R-	742537566	PSMVX				0.96000		SELL ONLY
Principal Funds	Principal SmallCap Value Fund II Institutio	74254R694	PPVIX				1.12000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income F	74255L753	PMDAX	5.50		.25	1.18000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income F	74255L613	PMDDX		1.00	1.00	1.93000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income F	74255L738	PMDIX				0.90000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income F	74256W469	PMDHX				0.99000		SELL ONLY
Principal Funds	Principal Small-MidCap Growth Fund Instit	74257B647	PSMHX				1.67000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital S	74254T252	PPSAX	3.75		.25	1.05000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital S	74254U614	PRFCX		1.00	1.00	1.81000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital S	74253Q416	PPSIX				0.81000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital S	74256W485	PPREX				0.71000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Bal	74254V547	SABPX	5.50		.25	1.14000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Bal	74254V521	SCBPX		1.00	1.00	1.91000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Bal	74254U424	PSBIX				0.83000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Cor	74254V513	SAIPX	5.50		.25	1.13000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Cor	74254V489	SCIPX		1.00	1.00	1.89000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Cor	74254U341	PCCIX				0.82000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Cor	74254V471	SAGPX	5.50		.25	1.15000		BUY,SELL
Principal Funds	Principal Strategic Asset Management Cor	74254V455	SCGPX		1.00	1.00	1.94000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Cor	74254V315	PCWIX				0.84000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Flex	74254V448	SAUPX	3.75		.25	1.09000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Flex	74254V422	SCUPX		1.00	1.00	1.86000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Principal Funds	Principal Strategic Asset Management Fle	74254U192	PIFIX					0.81000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Stra	74254V414	SACAX	5.50			.25	1.22000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Stra	74254V380	SWHCX		1.00	1.00		2.00000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Stra	74254V109	PSWIX					0.90000		SELL ONLY
Principal Funds	Principal Tax-Exempt Bond Fund Class C	74254V877	PTBCX		1.00	1.00		1.63000		SELL ONLY
Principal Funds	Principal Tax-Exempt Bond Fund Institutio	742537434	PITEX					0.61000		SELL ONLY
Prudential Investments	Prudential Jennison Mid Cap Growth Fund	74441C709			6.00		1			SELL ONLY
Putnam	George Putnam Balanced Fund Class A	37252M108	PGEOX	5.75			.25	0.97000		BUY,SELL
Putnam	George Putnam Balanced Fund Class B	37252M207	PGE BX		5.00	1.00		1.72000		SELL ONLY
Putnam	George Putnam Balanced Fund Class C	37252M306	PGPCX		1.00	1.00		1.72000		SELL ONLY
Putnam	George Putnam Balanced Fund Class R6	37252M801	PGEJX					0.62000		SELL ONLY
Putnam	George Putnam Balanced Fund Class Y	37252M603	PGEYX					0.72000		SELL ONLY
Putnam	Putnam California Tax Exempt Income Fu	74645A400	PCTBX		5.00		.85	1.38000		SELL ONLY
Putnam	Putnam California Tax Exempt Income Fu	74645A871	PCTCX		1.00	1.00		1.53000		SELL ONLY
Putnam	Putnam California Tax Exempt Income Fu	74645A863	PCLGX					0.53000		SELL ONLY
Putnam	Putnam California Tax Exempt Income Fu	746449305	PCIYX					0.53000		SELL ONLY
Putnam	Putnam Convertible Securities Fund Class	746476100	PCONX	5.75			.25	1.04000		BUY,SELL
Putnam	Putnam Convertible Securities Fund Class	746476209	PCNBX		5.00	1.00		1.79000		SELL ONLY
Putnam	Putnam Convertible Securities Fund Class	746476506	PRCCX		1.00	1.00		1.79000		SELL ONLY
Putnam	Putnam Convertible Securities Fund Class	746476886	PCNTX					0.72000		SELL ONLY
Putnam	Putnam Convertible Securities Fund Class	746476407	PCGYX					0.79000		SELL ONLY
Putnam	Putnam Diversified Income Trust Class A	746704105	PDINX	4.00			.25	0.99000		SELL ONLY
Putnam	Putnam Diversified Income Trust Class B	746704204	PSIBX		5.00	1.00		1.74000		SELL ONLY
Putnam	Putnam Diversified Income Trust Class C	746704303	PDVCX		1.00	1.00		1.74000		SELL ONLY
Putnam	Putnam Diversified Income Trust Class R6	746704808	PDVGX					0.64000		SELL ONLY
Putnam	Putnam Diversified Income Trust Class Y	746704501	PDVYX					0.74000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Balance	746444306	PABAX	5.75			.25	0.96000		BUY,SELL
Putnam	Putnam Dynamic Asset Allocation Balance	746444405	PABBX		5.00	1.00		1.71000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Balance	746444876	AABCX		1.00	1.00		1.71000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Balance	746444769	PAAEX					0.61000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Balance	746444884	PABYX					0.71000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Conserv	746444504	PACAX	5.75			.25	0.99000		BUY,SELL
Putnam	Putnam Dynamic Asset Allocation Conserv	746444603	PACBX		5.00	1.00		1.74000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Conserv	746444868	PACCX		1.00	1.00		1.74000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Conserv	746444744	PCCEX					0.64000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Conserv	746444801	PACYX					0.74000		SELL ONLY
Putnam	Putnam Dynamic Asset Allocation Growth	746444108	PAEAX	5.75			.25	1.05000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Putnam	Putnam Dynamic Asset Allocation Growth	746444207	PAEBX		5.00	1.00	1.80000		SELL ONLY	
Putnam	Putnam Dynamic Asset Allocation Growth	746444850	PAECX			1.00	1.80000		SELL ONLY	
Putnam	Putnam Dynamic Asset Allocation Growth	746444728	PAEEX				0.69000		SELL ONLY	
Putnam	Putnam Dynamic Asset Allocation Growth	746444702	PAGYX				0.80000		SELL ONLY	
Putnam	Putnam Dynamic Risk Allocation Fund Cla	746764240	PDREX	5.75		.25	1.69000		SELL ONLY	
Putnam	Putnam Dynamic Risk Allocation Fund Cla	746764232	PDRBX		5.00	1.00	2.44000		SELL ONLY	
Putnam	Putnam Dynamic Risk Allocation Fund Cla	746764224	PDRFX		1.00	1.00	2.44000		SELL ONLY	
Putnam	Putnam Dynamic Risk Allocation Fund Cla	746764141	PDRGX				1.27000		SELL ONLY	
Putnam	Putnam Dynamic Risk Allocation Fund Cla	746764182	PDRYX				1.44000		SELL ONLY	
Putnam	Putnam Emerging Markets Equity Fund Cl	746764109	PEMMX	5.75		.25	1.69000		BUY,SELL	
Putnam	Putnam Emerging Markets Equity Fund Cl	746764208	PEMBX		5.00	1.00	2.44000		SELL ONLY	
Putnam	Putnam Emerging Markets Equity Fund Cl	746764307	PEMZK		1.00	1.00	2.44000		SELL ONLY	
Putnam	Putnam Emerging Markets Equity Fund Cl	74676P391	PEMQX				1.27000		SELL ONLY	
Putnam	Putnam Emerging Markets Equity Fund Cl	746764604	PEMYX				1.44000		SELL ONLY	
Putnam	Putnam Fixed Income Absolute Return Fu	746764372	PTRNX	2.25		.25	0.79000		SELL ONLY	
Putnam	Putnam Fixed Income Absolute Return Fu	746764364	PTRBX			1.00	.45	0.99000	SELL ONLY	
Putnam	Putnam Fixed Income Absolute Return Fu	746764356	PTRGX			1.00	1.00	1.54000	SELL ONLY	
Putnam	Putnam Fixed Income Absolute Return Fu	74676A402	PTREX				0.54000		SELL ONLY	
Putnam	Putnam Fixed Income Absolute Return Fu	746764323	PYTRX				0.54000		SELL ONLY	
Putnam	Putnam Floating Rate Income Fund Class	746763481	PFLRX	2.25		.25	1.04000		BUY,SELL	
Putnam	Putnam Floating Rate Income Fund Class	746763473	PFRBX			1.00	.45	1.24000	SELL ONLY	
Putnam	Putnam Floating Rate Income Fund Class	746763465	PFICX			1.00	1.00	1.79000	SELL ONLY	
Putnam	Putnam Floating Rate Income Fund Class	74676P383	PFRZX					0.70000	SELL ONLY	
Putnam	Putnam Floating Rate Income Fund Class	746763226	PFRYX					0.79000	SELL ONLY	
Putnam	Putnam Focused Equity Fund Class A	746764646	PGIAX	5.75		.25	1.36000		BUY,SELL	
Putnam	Putnam Focused Equity Fund Class B	746764638	PGIVX			5.00	1.00	2.11000	SELL ONLY	
Putnam	Putnam Focused Equity Fund Class C	746764620	PGIEX			1.00	1.00	2.11000	SELL ONLY	
Putnam	Putnam Focused Equity Fund Class R6 Sh	74676P375	PGWTX					0.91000	SELL ONLY	
Putnam	Putnam Focused Equity Fund Class Y	746764588	PGILX					1.11000	SELL ONLY	
Putnam	Putnam Focused International Equity Fund	746772102	PEQUX	5.75		.25	1.13000		BUY,SELL	
Putnam	Putnam Focused International Equity Fund	746772201	PEQBX			5.00	1.00	1.88000	SELL ONLY	
Putnam	Putnam Focused International Equity Fund	746772300	PUGCX			1.00	1.00	1.88000	SELL ONLY	
Putnam	Putnam Focused International Equity Fund	746772805	PGLEX					0.74000	SELL ONLY	
Putnam	Putnam Focused International Equity Fund	746772409	PEQYX					0.88000	SELL ONLY	
Putnam	Putnam Global Health Care Fund Class A	746778109	PHSTX	5.75		.25	1.07000		SELL ONLY	
Putnam	Putnam Global Health Care Fund Class B	746778208	PHSBX			5.00	1.00	1.82000	SELL ONLY	
Putnam	Putnam Global Health Care Fund Class C	746778307	PCHSX			1.00	1.00	1.82000	SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End			Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	12b-1 Fees	Expense Ratio		
Putnam	Putnam Global Health Care Fund Class R6	746778802	PGHAX				0.72000		SELL ONLY
Putnam	Putnam Global Health Care Fund Class Y	746778505	PHSYX				0.82000		SELL ONLY
Putnam	Putnam Global Income Trust Class A	74677Q109	PGGIX	4.00		.25	1.20000		BUY,SELL
Putnam	Putnam Global Income Trust Class B	74677Q208	PGLBX		5.00	1.00	1.95000		SELL ONLY
Putnam	Putnam Global Income Trust Class C	74677Q307	PGGLX		1.00	1.00	1.95000		SELL ONLY
Putnam	Putnam Global Income Trust Class R6	74677Q802	PGGEX				0.79000		SELL ONLY
Putnam	Putnam Global Income Trust Class Y	74677Q604	PGGYX				0.95000		SELL ONLY
Putnam	Putnam Global Technology Fund Class A	746764570	PGTAX	5.75		.25	1.10000		SELL ONLY
Putnam	Putnam Global Technology Fund Class C	746764554	PGTDX		1.00	1.00	1.85000		SELL ONLY
Putnam	Putnam Global Technology Fund Class R6	74676P367	PTTEX				0.74000		SELL ONLY
Putnam	Putnam Global Technology Fund Class Y	746764521	PGTYX				0.85000		SELL ONLY
Putnam	Putnam Growth Opportunities Fund Class	746802800	POGAX	5.75		.25	1.05000		BUY,SELL
Putnam	Putnam Growth Opportunities Fund Class	746802750	POGBX		5.00	1.00	1.80000		SELL ONLY
Putnam	Putnam Growth Opportunities Fund Class	746802644	POGCX		1.00	1.00	1.80000		SELL ONLY
Putnam	Putnam Growth Opportunities Fund Class	74680A208	PGOEX				0.68000		SELL ONLY
Putnam	Putnam Growth Opportunities Fund Class	746802586	PGOYX				0.80000		SELL ONLY
Putnam	Putnam High Yield Fund Class A	74678J104	PHYIX	4.00		.25	1.04000		BUY,SELL
Putnam	Putnam High Yield Fund Class B	74678J203	PHYBX		5.00	1.00	1.79000		SELL ONLY
Putnam	Putnam High Yield Fund Class C	74678J500	PHYLX		1.00	1.00	1.79000		SELL ONLY
Putnam	Putnam High Yield Fund Class R6 Shares	74678J807	PHYUX				0.67000		SELL ONLY
Putnam	Putnam High Yield Fund Class Y	74678J401	PHAYX				0.79000		SELL ONLY
Putnam	Putnam Income Fund Class A	746792100	PINCX	4.00		.25	0.85000		SELL ONLY
Putnam	Putnam Income Fund Class B	746792209	PNCBX		5.00	1.00	1.60000		SELL ONLY
Putnam	Putnam Income Fund Class C	746792308	PUICX		1.00	1.00	1.60000		SELL ONLY
Putnam	Putnam Income Fund Class R6	746792803	PINHX				0.50000		SELL ONLY
Putnam	Putnam Income Fund Class Y	746792407	PNCYX				0.60000		SELL ONLY
Putnam	Putnam Intermediate-Term Municipal Inco	74676A790	PIMBX		5.00	.85	2.59000		SELL ONLY
Putnam	Putnam Intermediate-Term Municipal Inco	74676A782	PIMFX		1.00	1.00	2.74000		SELL ONLY
Putnam	Putnam Intermediate-Term Municipal Inco	74676P359	PIMRX				1.68000		SELL ONLY
Putnam	Putnam Intermediate-Term Municipal Inco	74676A766	PIMYX				1.74000		SELL ONLY
Putnam	Putnam International Capital Opportunities	746802859	PNVAX	5.75		.25	1.54000		BUY,SELL
Putnam	Putnam International Capital Opportunities	746802792	PVNBX		5.00	1.00	2.29000		SELL ONLY
Putnam	Putnam International Capital Opportunities	746802537	PUVCX		1.00	1.00	2.29000		SELL ONLY
Putnam	Putnam International Capital Opportunities	74680L378	PICOX				1.11000		SELL ONLY
Putnam	Putnam International Capital Opportunities	746802495	PIVYX				1.29000		SELL ONLY
Putnam	Putnam International Equity Fund Class A	74680E101	POVSX	5.75		.25	1.21000		BUY,SELL
Putnam	Putnam International Equity Fund Class B	74680E200	POVBX		5.00	1.00	1.96000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Putnam	Putnam International Equity Fund Class C	74680E309	PIGCX		1.00	1.00	1.96000		SELL ONLY	
Putnam	Putnam International Equity Fund Class R6	74680E804	POVEX				0.77000		SELL ONLY	
Putnam	Putnam International Equity Fund Class Y	74680E507	POVYX				0.96000		SELL ONLY	
Putnam	Putnam International Value Fund Class A	746763200	PNGAX	5.75		.25	1.43000		BUY,SELL	
Putnam	Putnam International Value Fund Class B	746763309	PGNBX		5.00	1.00	2.18000		SELL ONLY	
Putnam	Putnam International Value Fund Class C	746763754	PIGRX		1.00	1.00	2.18000		SELL ONLY	
Putnam	Putnam International Value Fund Class R6	74676A527	PIGWX				0.98000		SELL ONLY	
Putnam	Putnam International Value Fund Class Y	746763614	PNGYX				1.18000		SELL ONLY	
Putnam	Putnam Large Cap Value Fund Class A	746745108	PEYAX	5.75		.25	0.90000		BUY,SELL	
Putnam	Putnam Large Cap Value Fund Class B	746745207	PEQNX		5.00	1.00	1.65000		SELL ONLY	
Putnam	Putnam Large Cap Value Fund Class C	746745504	PEQCX		1.00	1.00	1.65000		SELL ONLY	
Putnam	Putnam Large Cap Value Fund Class R6	746745801	PEQSX				0.55000		SELL ONLY	
Putnam	Putnam Large Cap Value Fund Class Y	746745405	PEIYX				0.65000		SELL ONLY	
Putnam	Putnam Massachusetts Tax Exempt Incon	74683H101	PMABX		5.00	.85	1.41000		SELL ONLY	
Putnam	Putnam Massachusetts Tax Exempt Incon	74683H408	PMMCX		1.00	1.00	1.56000		SELL ONLY	
Putnam	Putnam Massachusetts Tax Exempt Incon	74683H705	PMATX				0.55000		SELL ONLY	
Putnam	Putnam Massachusetts Tax Exempt Incon	74683H507	PMAYX				0.56000		SELL ONLY	
Putnam	Putnam Minnesota Tax Exempt Income Fu	74683M100	PMTBX		5.00	.85	1.47000		SELL ONLY	
Putnam	Putnam Minnesota Tax Exempt Income Fu	74683M407	PMOCX		1.00	1.00	1.62000		SELL ONLY	
Putnam	Putnam Minnesota Tax Exempt Income Fu	74683M704	PMVTX				0.59000		SELL ONLY	
Putnam	Putnam Minnesota Tax Exempt Income Fu	74683M506	PMNYX				0.62000		SELL ONLY	
Putnam	Putnam Mortgage Opportunities Fund Clas	74676A493	PMORX	4.00		.25	1.01000		SELL ONLY	
Putnam	Putnam Mortgage Opportunities Fund Clas	74676A485	PMOZX		1.00	1.00	1.76000		SELL ONLY	
Putnam	Putnam Mortgage Opportunities Fund Clas	74676A469	PMOLX				0.74000		SELL ONLY	
Putnam	Putnam Mortgage Opportunities Fund Clas	74676A477	PMOYX				0.76000		SELL ONLY	
Putnam	Putnam Mortgage Securities Fund Class A	746885102	PGSIX	4.00		.25	0.89000		SELL ONLY	
Putnam	Putnam Mortgage Securities Fund Class B	746885201	PGSBX		5.00	1.00	1.64000		SELL ONLY	
Putnam	Putnam Mortgage Securities Fund Class C	746885300	PGVCX		1.00	1.00	1.64000		SELL ONLY	
Putnam	Putnam Mortgage Securities Fund Class F	746885805	POLYX				0.51000		SELL ONLY	
Putnam	Putnam Mortgage Securities Fund Class Y	746885409	PUSYX				0.64000		SELL ONLY	
Putnam	Putnam Multi-Asset Absolute Return Fund	746764315	PDMAX	5.75		.25	0.94000		SELL ONLY	
Putnam	Putnam Multi-Asset Absolute Return Fund	746764299	PDMBX		5.00	1.00	1.69000		SELL ONLY	
Putnam	Putnam Multi-Asset Absolute Return Fund	746764281	PDMCX		1.00	1.00	1.69000		SELL ONLY	
Putnam	Putnam Multi-Asset Absolute Return Fund	74676A808	PDMEX			.00	0.58000		SELL ONLY	
Putnam	Putnam Multi-Asset Absolute Return Fund	746764257	PDMYX			.00	0.69000		SELL ONLY	
Putnam	Putnam Multi-Cap Core Fund Class A	74676P888	PMYAX	5.75		.25	0.98000		BUY,SELL	
Putnam	Putnam Multi-Cap Core Fund Class B	74676P870	PMYBX		5.00	1.00	1.73000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Putnam	Putnam Multi-Cap Core Fund Class C	74676P862	PMYCX		1.00	1.00	1.73000		SELL ONLY	
Putnam	Putnam Multi-Cap Core Fund Class R6 Sh	74676P342	PMYTX				0.63000		SELL ONLY	
Putnam	Putnam Multi-Cap Core Fund Class Y	74676P839	PMYYX				0.73000		SELL ONLY	
Putnam	Putnam New Jersey Tax Exempt Income F	746915206	PNJBX		5.00	.85	1.43000		SELL ONLY	
Putnam	Putnam New Jersey Tax Exempt Income F	746915404	PNJCX		1.00	1.00	1.58000		SELL ONLY	
Putnam	Putnam New Jersey Tax Exempt Income F	746915701	PNJRX				0.57000		SELL ONLY	
Putnam	Putnam New Jersey Tax Exempt Income F	746915503	PNJYX				0.58000		SELL ONLY	
Putnam	Putnam New York Tax Exempt Income Fu	74683Q408	PEIBX		5.00	.85			SELL ONLY	
Putnam	Putnam New York Tax Exempt Income Fu	74683Q606	PNNCX		1.00	1.00			SELL ONLY	
Putnam	Putnam New York Tax Exempt Income Fu	74683Q705	PNYRX						SELL ONLY	
Putnam	Putnam New York Tax Exempt Income Fu	746837301	PNYYX						SELL ONLY	
Putnam	Putnam Ohio Tax Exempt Income Fund C	746849108	POXBX		5.00	.85	1.46000		SELL ONLY	
Putnam	Putnam Ohio Tax Exempt Income Fund C	746849405	POOCX		1.00	1.00	1.61000		SELL ONLY	
Putnam	Putnam Ohio Tax Exempt Income Fund C	746849702	POHRX				0.59000		SELL ONLY	
Putnam	Putnam Ohio Tax Exempt Income Fund C	746849504	POTYX				0.61000		SELL ONLY	
Putnam	Putnam PanAgora Risk Parity Fund Class	74680L469	PPRPX	5.75		.25	1.63000		SELL ONLY	
Putnam	Putnam PanAgora Risk Parity Fund Class	74680L451	PPRLX		5.00	1.00	2.38000		SELL ONLY	
Putnam	Putnam PanAgora Risk Parity Fund Class	74680L444	PPRNX		1.00	1.00	2.38000		SELL ONLY	
Putnam	Putnam PanAgora Risk Parity Fund Class	74680L410	PPRWX				1.39000		SELL ONLY	
Putnam	Putnam PanAgora Risk Parity Fund Class	74680L386	PPRYX				1.38000		SELL ONLY	
Putnam	Putnam Pennsylvania Tax Exempt Income	746852201	PPNBX		5.00	.85	1.45000		SELL ONLY	
Putnam	Putnam Pennsylvania Tax Exempt Income	746852409	PPNCX		1.00	1.00	1.60000		SELL ONLY	
Putnam	Putnam Pennsylvania Tax Exempt Income	746852706	PPTRX				0.57000		SELL ONLY	
Putnam	Putnam Pennsylvania Tax Exempt Income	746852508	PPTYX				0.60000		SELL ONLY	
Putnam	Putnam Research Fund Class A	746802883	PNRAX	5.75		.25	1.08000		BUY,SELL	
Putnam	Putnam Research Fund Class B	746802685	PRFBX		5.00	1.00	1.83000		SELL ONLY	
Putnam	Putnam Research Fund Class C	746802628	PRACX		1.00	1.00	1.83000		SELL ONLY	
Putnam	Putnam Research Fund Class R6 Shares	74680L733	PLJMX				0.69000		SELL ONLY	
Putnam	Putnam Research Fund Class Y	746802487	PURYX				0.83000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2025 Fund	74686J708	PBDLX	5.75		.25	5.90000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2025 Fund	74686J880	PRTJX		1.00	1.00	6.65000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2025 Fund	74686J864	PBATX				5.55000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2025 Fund	74686J856	PLZYX				5.65000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2030 Fund	74686J849	PDLTX	5.75		.25	5.75000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2030 Fund	74686J823	PDLKX		1.00	1.00	6.50000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2030 Fund	74686J799	PDIZX				5.40000		SELL ONLY	
Putnam	Putnam Retirement Advantage 2030 Fund	74686J781	PDGKX				5.50000		SELL ONLY	

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Putnam	Putnam Retirement Advantage 2035 Fund	74686J773	PDFLX	5.75		.25	5.46000		SELL ONLY
Putnam	Putnam Retirement Advantage 2035 Fund	74686J757	PDAWX		1.00	1.00	6.21000		SELL ONLY
Putnam	Putnam Retirement Advantage 2035 Fund	74686J732	PCDLX				5.11000		SELL ONLY
Putnam	Putnam Retirement Advantage 2035 Fund	74686J724	POWYX				5.21000		SELL ONLY
Putnam	Putnam Retirement Advantage 2040 Fund	74686J716	PCCLX	5.75		.25	6.91000		SELL ONLY
Putnam	Putnam Retirement Advantage 2040 Fund	74686J682	PBBZX		1.00	1.00	7.66000		SELL ONLY
Putnam	Putnam Retirement Advantage 2040 Fund	74686J666	PBAMX				6.56000		SELL ONLY
Putnam	Putnam Retirement Advantage 2040 Fund	74686J658	PALZX				6.66000		SELL ONLY
Putnam	Putnam Retirement Advantage 2045 Fund	74686J641	PALGX	5.75		.25	6.95000		SELL ONLY
Putnam	Putnam Retirement Advantage 2045 Fund	74686J625	PAFPX			1.00	7.70000		SELL ONLY
Putnam	Putnam Retirement Advantage 2045 Fund	74686J591	PAFMX				6.60000		SELL ONLY
Putnam	Putnam Retirement Advantage 2045 Fund	74686J583	PAFJX				6.70000		SELL ONLY
Putnam	Putnam Retirement Advantage 2050 Fund	74686J575	PAEZX	5.75		.25	11.31000		SELL ONLY
Putnam	Putnam Retirement Advantage 2050 Fund	74686J559	PAENX			1.00	12.06000		SELL ONLY
Putnam	Putnam Retirement Advantage 2050 Fund	74686J534	PAEKX				10.96000		SELL ONLY
Putnam	Putnam Retirement Advantage 2050 Fund	74686J328	PHPDX				11.06000		SELL ONLY
Putnam	Putnam Retirement Advantage 2055 Fund	74686J526	PADYX	5.75		.25	16.67000		SELL ONLY
Putnam	Putnam Retirement Advantage 2055 Fund	74686J492	PACWX		1.00	1.00	17.42000		SELL ONLY
Putnam	Putnam Retirement Advantage 2055 Fund	74686J476	PACJX				16.32000		SELL ONLY
Putnam	Putnam Retirement Advantage 2055 Fund	74686J468	PAAWX				16.42000		SELL ONLY
Putnam	Putnam Retirement Advantage 2060 Fund	74686J450	PAAVX	5.75		.25	59.33000		SELL ONLY
Putnam	Putnam Retirement Advantage 2060 Fund	74686J435	PAAPX		1.00	1.00	60.08000		SELL ONLY
Putnam	Putnam Retirement Advantage 2060 Fund	74686J419	PAAKX				59.98000		SELL ONLY
Putnam	Putnam Retirement Advantage 2060 Fund	74686J393	PAKJX				59.08000		SELL ONLY
Putnam	Putnam Retirement Advantage 2065 Fund	74686K101	PCJZX	5.75		.25	111.27000		SELL ONLY
Putnam	Putnam Retirement Advantage 2065 Fund	74686K200	PCKBX		1.00	1.00	112.02000		SELL ONLY
Putnam	Putnam Retirement Advantage 2065 Fund	74686K705	PCKJX				110.92000		SELL ONLY
Putnam	Putnam Retirement Advantage 2065 Fund	74686K804	PCKEX				111.02000		SELL ONLY
Putnam	Putnam Retirement Advantage Maturity Fu	74686J104	POMGX	4.00		.25	20.92000		SELL ONLY
Putnam	Putnam Retirement Advantage Maturity Fu	74686J302	PLFGX		1.00	1.00	21.67000		SELL ONLY
Putnam	Putnam Retirement Advantage Maturity Fu	74686J500	PADLX				20.57000		SELL ONLY
Putnam	Putnam Retirement Advantage Maturity Fu	74686J609	PAETX				20.67000		SELL ONLY
Putnam	Putnam RetirementReady 2025 Fund Clas	746859750	PRROX	5.75		.25	1.46000		SELL ONLY
Putnam	Putnam RetirementReady 2025 Fund Clas	746859743			5.00	1.00	2.21000		SELL ONLY
Putnam	Putnam RetirementReady 2025 Fund Clas	746859735			1.00	1.00	2.21000		SELL ONLY
Putnam	Putnam RetirementReady 2025 Fund Clas	74685U100	PRMFX				1.11000		SELL ONLY
Putnam	Putnam RetirementReady 2025 Fund Clas	746859438	PRRPX				1.21000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Putnam	Putnam RetirementReady 2030 Fund Clas	746859818	PRRQX	5.75			.25	1.47000		SELL ONLY
Putnam	Putnam RetirementReady 2030 Fund Clas	746859792				5.00	1.00	2.22000		SELL ONLY
Putnam	Putnam RetirementReady 2030 Fund Clas	746859784				1.00	1.00	2.22000		SELL ONLY
Putnam	Putnam RetirementReady 2030 Fund Clas	746859115	PREZX					1.12000		SELL ONLY
Putnam	Putnam RetirementReady 2030 Fund Clas	746859446	PRRTX					1.22000		SELL ONLY
Putnam	Putnam RetirementReady 2035 Fund Clas	746859867	PRRWX	5.75			.25	1.52000		SELL ONLY
Putnam	Putnam RetirementReady 2035 Fund Clas	746859859				5.00	1.00	2.27000		SELL ONLY
Putnam	Putnam RetirementReady 2035 Fund Clas	746859842				1.00	1.00	2.27000		SELL ONLY
Putnam	Putnam RetirementReady 2035 Fund Clas	746859123	PREGX					1.17000		SELL ONLY
Putnam	Putnam RetirementReady 2035 Fund Clas	746859453	PRRYX					1.27000		SELL ONLY
Putnam	Putnam RetirementReady 2040 Fund Clas	746859602	PRRZX	5.75			.25	1.55000		SELL ONLY
Putnam	Putnam RetirementReady 2040 Fund Clas	746859701				5.00	.25	2.30000		SELL ONLY
Putnam	Putnam RetirementReady 2040 Fund Clas	746859800				1.00	1.00	2.30000		SELL ONLY
Putnam	Putnam RetirementReady 2040 Fund Clas	746859131	PREHX					1.20000		SELL ONLY
Putnam	Putnam RetirementReady 2040 Fund Clas	746859461	PRZZX					1.30000		SELL ONLY
Putnam	Putnam RetirementReady 2045 Fund Clas	746859107	PRVLX	5.75			.25	1.65000		SELL ONLY
Putnam	Putnam RetirementReady 2045 Fund Clas	746859206				5.00	1.00	2.40000		SELL ONLY
Putnam	Putnam RetirementReady 2045 Fund Clas	746859305				1.00	1.00	2.40000		SELL ONLY
Putnam	Putnam RetirementReady 2045 Fund Clas	746859149	PREKX					1.30000		SELL ONLY
Putnam	Putnam RetirementReady 2045 Fund Clas	746859479	PRVYX					1.40000		SELL ONLY
Putnam	Putnam RetirementReady 2050 Fund Clas	746859370	PRRJX	5.75			.25	1.67000		SELL ONLY
Putnam	Putnam RetirementReady 2050 Fund Clas	746859362				5.00	1.00	2.42000		SELL ONLY
Putnam	Putnam RetirementReady 2050 Fund Clas	746859354				1.00	1.00	2.42000		SELL ONLY
Putnam	Putnam RetirementReady 2050 Fund Clas	746859156	PREUX					1.32000		SELL ONLY
Putnam	Putnam RetirementReady 2050 Fund Clas	746859321	PRRUX					1.42000		SELL ONLY
Putnam	Putnam RetirementReady 2055 Fund Clas	746859313	PRRFX	5.75			.25	1.95000		SELL ONLY
Putnam	Putnam RetirementReady 2055 Fund Clas	746859297				5.00	1.00	2.70000		SELL ONLY
Putnam	Putnam RetirementReady 2055 Fund Clas	746859289				1.00	1.00	2.70000		SELL ONLY
Putnam	Putnam RetirementReady 2055 Fund Clas	746859164	PREVX					1.60000		SELL ONLY
Putnam	Putnam RetirementReady 2055 Fund Clas	746859255	PRTLX					1.70000		SELL ONLY
Putnam	Putnam RetirementReady 2060 Fund Clas	746859248	PRTFX	5.75			.25	4.85000		SELL ONLY
Putnam	Putnam RetirementReady 2060 Fund Clas	746859230				5.00	1.00	5.60000		SELL ONLY
Putnam	Putnam RetirementReady 2060 Fund Clas	746859222				1.00	1.00	5.60000		SELL ONLY
Putnam	Putnam RetirementReady 2060 Fund Clas	746859172	PEFGX					4.50000		SELL ONLY
Putnam	Putnam RetirementReady 2060 Fund Clas	746859180	PRTYX					4.60000		SELL ONLY
Putnam	Putnam RetirementReady 2065 Fund Clas	74686J310	PCJQX	5.75			.25	6.42000		SELL ONLY
Putnam	Putnam RetirementReady 2065 Fund Clas	74686J294	PCJRX			1.00	1.00	7.17000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End		12b-1		Gross	Redemption	Buy/Sell Eligible
				Load	CDSC	Fees	Expense Ratio	Fee		
Putnam	Putnam RetirementReady 2065 Fund Clas	74686J245	PCJYX					6.07000		SELL ONLY
Putnam	Putnam RetirementReady 2065 Fund Clas	74686J237	PCJSX					6.17000		SELL ONLY
Putnam	Putnam RetirementReady Maturity Class A	746859537	PRMAX	4.00			.25	1.48000		SELL ONLY
Putnam	Putnam RetirementReady Maturity Class E	746859529	PRMLX			5.00	1.00	2.23000		SELL ONLY
Putnam	Putnam RetirementReady Maturity Class C	746859511	PRMCX			1.00	1.00	2.23000		SELL ONLY
Putnam	Putnam RetirementReady Maturity Class F	74685U308	PREWX					1.13000		SELL ONLY
Putnam	Putnam RetirementReady Maturity Class Y	746859388	PRMYX					1.23000		SELL ONLY
Putnam	Putnam Short Duration Bond Fund Class A	746764448	PARTX	2.25			.25	0.63000		SELL ONLY
Putnam	Putnam Short Duration Bond Fund Class E	746764430	PARPX			1.00	.45	0.83000		SELL ONLY
Putnam	Putnam Short Duration Bond Fund Class C	746764422	PARQX			1.00	1.00	1.38000		SELL ONLY
Putnam	Putnam Short Duration Bond Fund Class F	74676A204	PRREX					0.38000		SELL ONLY
Putnam	Putnam Short Duration Bond Fund Class Y	746764380	PARYX					0.38000		SELL ONLY
Putnam	Putnam Short-Term Municipal Income Fur	74676A857	PSMFX			1.00	.45	1.26000		SELL ONLY
Putnam	Putnam Short-Term Municipal Income Fur	74676A840	PSMTX			1.00	1.00	1.81000		SELL ONLY
Putnam	Putnam Short-Term Municipal Income Fur	74676P334	PYSTX					0.80000		SELL ONLY
Putnam	Putnam Short-Term Municipal Income Fur	74676A824	PSMYX					0.81000		SELL ONLY
Putnam	Putnam Small Cap Growth Fund Class A	746763549	PNSAX	5.75			.25	1.24000		BUY,SELL
Putnam	Putnam Small Cap Growth Fund Class B	746763531	PNSBX			5.00	1.00	1.99000		SELL ONLY
Putnam	Putnam Small Cap Growth Fund Class C	746763523	PNSCX			1.00	1.00	1.99000		SELL ONLY
Putnam	Putnam Small Cap Growth Fund Class R6	74676A519	PLKGX					0.84000		SELL ONLY
Putnam	Putnam Small Cap Growth Fund Class Y	746763499	PSYGX					0.99000		SELL ONLY
Putnam	Putnam Small Cap Value Fund Class A	746802610	PSLAX	5.75			.25	1.63000		BUY,SELL
Putnam	Putnam Small Cap Value Fund Class B	746802594	PSLBX			5.00	1.00	2.38000		SELL ONLY
Putnam	Putnam Small Cap Value Fund Class C	746802560	PSLCX			1.00	1.00	2.38000		SELL ONLY
Putnam	Putnam Small Cap Value Fund Class R6	74680L741	PSCMX					1.20000		SELL ONLY
Putnam	Putnam Small Cap Value Fund Class Y	746802289	PYSVX					1.38000		SELL ONLY
Putnam	Putnam Strategic Intermediate Municipal F	746872100	PTFIX			5.00	.85	1.44000		SELL ONLY
Putnam	Putnam Strategic Intermediate Municipal F	746872803	PAMTX			1.00	1.00	1.59000		SELL ONLY
Putnam	Putnam Strategic Intermediate Municipal F	746872845	PAMLX					0.58000		SELL ONLY
Putnam	Putnam Strategic Intermediate Municipal F	746872886	PAMYX					0.59000		SELL ONLY
Putnam	Putnam Sustainable Future Fund Class A	746802511	PMVAX	5.75			.25	1.02000		BUY,SELL
Putnam	Putnam Sustainable Future Fund Class B	746802271	PMVBX			5.00	1.00	1.77000		SELL ONLY
Putnam	Putnam Sustainable Future Fund Class C	746802263	PMPCX			1.00	1.00	1.77000		SELL ONLY
Putnam	Putnam Sustainable Future Fund Class R6	74680L352	PNOTX					0.66000		SELL ONLY
Putnam	Putnam Sustainable Future Fund Class Y	746802198	PMVYX					0.77000		SELL ONLY
Putnam	Putnam Sustainable Leaders Fund Class A	746916105	PNOPX	5.75			.25	1.05000		BUY,SELL
Putnam	Putnam Sustainable Leaders Fund Class E	746916204	PNOBX			5.00	1.00	1.80000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross	Redemption	Buy/Sell Eligible
							Expense Ratio	Fee	
Putnam	Putnam Sustainable Leaders Fund Class C	746916303	PNOCX		1.00	1.00	1.80000		SELL ONLY
Putnam	Putnam Sustainable Leaders Fund Class F	746916709	PSLGX				0.70000		SELL ONLY
Putnam	Putnam Sustainable Leaders Fund Class Y	746916402	PNOYX				0.80000		SELL ONLY
Putnam	Putnam Tax Exempt Income Fund Class E	746870203	PTBEX		5.00	.85	1.43000		SELL ONLY
Putnam	Putnam Tax Exempt Income Fund Class C	746870401	PTECX		1.00	1.00	1.58000		SELL ONLY
Putnam	Putnam Tax Exempt Income Fund Class F	746870708	PEXTX				0.56000		SELL ONLY
Putnam	Putnam Tax Exempt Income Fund Class Y	746870500	PTEYX				0.58000		SELL ONLY
Putnam	Putnam Tax Free High Yield Fund Class F	746872837	PTFRX				0.61000		SELL ONLY
Putnam	Putnam Tax-Free High Yield Fund Class E	746872209	PTHYX		5.00	.85	1.48000		SELL ONLY
Putnam	Putnam Tax-Free High Yield Fund Class C	746872704	PTCCX		1.00	1.00	1.63000		SELL ONLY
Putnam	Putnam Tax-Free High Yield Fund Class Y	746872878	PTFYX				0.63000		SELL ONLY
Putnam	Putnam Ultra Short Duration Income Fund	74676P755	PSDTX			.10	0.47000		SELL ONLY
Putnam	Putnam Ultra Short Duration Income Fund	74676P748	PSDBX		5.00	.50	0.87000		SELL ONLY
Putnam	Putnam Ultra Short Duration Income Fund	74676P730	PSDLX		1.00	.50	0.87000		SELL ONLY
Putnam	Putnam Ultra Short Duration Income Fund	74676P326	PSDNX	1.50	0.25	.25	0.62000		SELL ONLY
Putnam	Putnam Ultra Short Duration Income Fund	74676P672	PSDQX				0.36000		SELL ONLY
Putnam	Putnam Ultra Short Duration Income Fund	74676P698	PSDYX				0.37000		SELL ONLY