Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Gabelli	Comstock Capital Value Fund AAA Class	20567T109	COMVX			.25	4.93000	2.00	SELL ONLY
Gabelli	Comstock Capital Value Fund Class A	205763402	DRCVX	5.75		.25	4.93000	2.00	SELL ONLY
Gabelli	Comstock Capital Value Fund Class C	205763600	CPCCX		1.00	1.00	5.68000	2.00	SELL ONLY
Gabelli	Comstock Capital Value Fund Class I	205763709	CPCRX				4.68000	2.00	SELL ONLY
Gabelli	Gabelli ABC Fund Class AAA	36239V108	GABCX				0.77000	2.00	SELL ONLY
Gabelli	Gabelli ABC Fund Class Advisor	36239V207	GADVX			.25	1.02000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class A	362395204	GATAX	5.75		.25	1.33000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class AAA	362395105	GABAX			.25	1.33000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class C	362395402	GATCX		1.00	1.00	2.08000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class I	362395501	GABIX				1.08000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class A	36240D204	GBCAX	5.75		.25	2.17000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class AAA	36240D105	GABBX			.25	2.17000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class C	36240D402	GBCCX		1.00	1.00	2.92000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class Institutional	36240D501	GBCIX				1.92000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class A	29372K625	EMAAX	5.75			1.69000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class AAA	362402109	EAAAX				1.69000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class B	29372K617	EMABX		5.00	1	2.2100	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class C	29372K591	EMACX		1.00		2.44000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class Y	29372K583	EMAYX				1.44000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class A	36239T707	GCAEX	5.75		.25	1.42000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class AAA	36239T202	GABEX			.25	1.42000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class C	36239T889	GCCEX		1.00	1.00	2.23000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class Institutional	36239T848	GCIEX				1.17000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class A	362401200	ESGHX	5.75		.25	1.85000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class AAA	362401101	ESGGX			.25	1.85000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class C	362401309	ESGJX		1.00	1.00	2.66000	2.00	SELL ONLY
Gabelli	Gabelli ESG Fund Class I	362401408	ESGKX				1.60000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Gabelli	Gabelli Focused Growth and Income Fund Class A	36239T400	GWSAX	5.75		.25	1.96000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund Class AAA	36239T301	GWSVX			.25	1.96000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund Class C	36239T608	GWSCX		1.00	1.00	2.39000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund Class Institutional	36239T822	GWSIX				1.71000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class A	36464T208	GTCAX	5.75		.25	1.65000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class AAA	36464T109	GABTX			.25	1.65000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class C	36464T406	GTCCX		1.00	1.00	2.52000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class I	36464T794	GTTIX				1.40000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class A	36239T764	GGFSX	5.75		.25	2.04000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class AAA	36239T772	GAFSX			.25	2.04000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class C	36239T756	GCFSX		1.00	1.00	2.79000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class I	36239T749	GFSIX				1.79000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class A	36464T836	GGGAX	5.75		.25	1.50000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class AAA	36464T844	GICPX			.25	1.50000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class C	36464T810	GGGCX		1.00	1.00	2.32000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class Institutional	36464T786	GGGIX				1.25000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class A	36464T737	GMNAX	5.75		.25	3.49000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class AAA	36464T745	GAMNX			.25	3.49000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini MitesTM Fund Class C	36464T729	GMNCX		1.00	1.00	10.15000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Gabelli	Gabelli Global Mini MitesTM Fund Class I	36464T711	GGMMX				3.24000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend Fund Class A	36464T877	GAGAX	5.75		.25	1.62000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend Fund Class C	36464T851	GACCX		1.00	1.00	2.47000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend Fund Class I	36464T760	GAGIX				1.37000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class A	36239R206	GLDAX	5.75		.25	1.49000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class AAA	36239R107	GOLDX			.25	1.49000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class C	36239R404	GLDCX		1.00	1.00	2.24000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class I	36239R503	GLDIX				1.24000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class A	36464V203	GGCAX	5.75		.25	1.34000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class AAA	36464V104	GABGX			.25	1.34000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class C	36464V401	GGCCX		1.00	1.00	2.09000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class I	36464V500	GGCIX				1.09000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class A	364645200	GAIGX	5.75		.25	2.16000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class AAA	364645101	GIGRX			.25	2.16000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class C	364645408	GCIGX		1.00	1.00	2.91000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class I	364645507	GIIGX				1.91000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class A	36464T604	GOCAX	5.75		.25	2.89000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class AAA	36464T505	GABOX			.25	2.89000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class C	36464T802	GGLCX		1.00	1.00	4.40000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class Institutional	36464T778	GLOIX				2.64000	2.00	SELL ONLY
Gabelli	Gabelli Media Mogul Fund Class A	36256H503	MLGLX	5.75		.25	4.20000	2.00	SELL ONLY
Gabelli	Gabelli Pet Parents'? Fund Class A	36256H602	PETGX	5.75		.25	4.29000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class A	36239T871	GCASX	5.75		.25	1.38000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Gabelli	Gabelli Small Cap Growth Fund Class AAA	36239T103	GABSX			.25	1.38000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class C	36239T855	GCCSX		1.00	1.00	2.13000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class I	36239T830	GACIX				1.13000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class A	36240E202	GAUAX	5.75		.25	1.36000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class AAA	36240E103	GABUX			.25	1.36000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class C	36240E822	GUXPX		1.00	1.00	2.11000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class C1	36240E400	GAUCX		1.00	1.00	2.11000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class Institutional	36240E806	GAUIX				1.11000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class A	36240H106	GABVX	5.75		.25	1.43000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class AAA	36240H502	GVCAX			.25	1.43000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class C	36240H304	GVCCX		1.00	1.00	2.18000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class I	36240H403	GVCIX				1.18000	2.00	SELL ONLY
Gabelli	The Gabelli Global Rising Income and Dividend Fund AAA	36464T885	GAGCX			.25	1.62000	2.00	SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Class A	38145N246	GARTX	5.50		.25	1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Class C	38145N238	GCRTX		1.00	.75	1.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Class R6	38147X325	GARUX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Institutional Class	38145N220	GJRTX				0.79000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Class A	38142V688	GIPAX	5.50		.25	1.09000		BUY,SELL
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Class C	38142V662	GIPCX		1.00	.75	1.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Class R6	38148U106	GIPUX			.00	0.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Institutional Class	38142V548	GIPIX			.00	0.72000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Service Class	38142V530	GIPSX			.25	1.22000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Class A Shares	38143H449	GSFAX	3.75		.25	0.96000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Bond Fund Class C Shares	38143H423	GSFCX		1.00	.75	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Class R6 Shares	38147X556	GSFUX				0.62000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Institutional Shares	38143H415	GSNIX				0.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Service Shares	38143H399	GSNSX			.25	1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Class A	38141W570	GSAGX	5.50		.25	1.77000		BUY,SELL
Goldman Sachs	Goldman Sachs China Equity Fund Class C	38142B294	GSACX		1.00	.75	2.52000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Class R6	38148U130	GSAFX				1.39000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Institutional Class	38141W455	GSAIX				1.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Class A Shares	38150C671	GCEBX	5.50		.25	1.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Class C Shares	38150C663	GCEGX		1.00	.75	2.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Class R6 Shares	38150C622	GCEEX				1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Institutional Shares	38150C655	GCEDX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Class A	38143H373	GSCAX	4.50		.25	1.19000		BUY,SELL
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Class C	38143H365	GSCCX		1.00	.75	1.94000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Class R6	38147X317	GCCUX			.00	0.85000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Institutional Class	38143H381	GCCIX			.00	0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Concentrated Growth Fund Class A	38142Y187	GCGAX	5.50		.25	1.31000		BUY,SELL
Goldman Sachs	Goldman Sachs Concentrated Growth Fund Class C	38142Y161	GCGCX		1.00	.75	2.06000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Concentrated Growth Fund Class R6	38147X382	GCGUX			.00	0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Concentrated Growth Fund Institutional Class	38142Y153	GCRIX			.00	0.94000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Class A	38142B419	GCFIX	3.75		.25	0.80000		BUY,SELL
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Class C	38142B229	GCFCX		1.00	.75	1.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Class R6	38147X333	GCFUX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Institutional Class	38141W810	GSFIX				0.47000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Service Class	38141W786	GSCSX			.25	0.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Class A	38142V571	GAPAX	5.50		.25	0.98000		BUY,SELL
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Class C	38142V555	GAXCX		1.00	.75	1.73000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Class R6	38148U403	GAPUX			.00	0.60000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Institutional Class	38142V472	GAPIX			.00	0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Service Class	38142V464	GAPSX			.25	1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Class C	38142B195	GSMUX		1.00	.75	1.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Class R6	38145L190	GYISX			.00	0.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Institutional Class	38142V746	GSMTX			.00	0.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Service Class	38142V738	GSMEX			.25	0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Class A	38143H803	GSDAX	4.50		.25	1.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Class C	38143H456	GSCDX		1.00	.75	1.98000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Class R6	38148U882	GSIUX				0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Institutional Class	38143H886	GSDIX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Class A Shares	38150C440	GEMHX	5.50		.25	2.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Class C Shares	38150C432	GEMLX		1.00	.75	3.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Class R6 Shares	38150C382	GEMWX				2.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Institutional Shares	38150C424	GEMJX				2.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Class A	38142B450	GEMAX	5.50		.25	1.47000		BUY,SELL
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Class C	38142B252	GEMCX		1.00	.75	2.22000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Class R6	38147X226	GEMUX				1.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Institutional Class	38142B369	GEMIX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Service Class	38142B351	GEMSX			.25	1.60000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Class A	38144N585	GERAX	5.50		.25	1.52000		BUY,SELL
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Class C	38144N577	GERCX		1.00	.75	2.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Class R6	38147X259	GERUX				1.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund International	38144N569	GERIX				1.15000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Class A Shares	38148U262	GLEAX	5.50		.25	1.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Class C Shares	38148U254	GLECX		1.00	.75	2.30000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Class R6 Shares	38148U239	GLESX				1.17000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Institutional Shares	38148U221	GLEPX				1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global Equity Portfolio Class A	38143H167	GADGX	5.50		.25	1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global Equity Portfolio Class R6 Shares	38148U197	GRGDX				1.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global Equity Portfolio Institutional Class	38143H175	GIDGX				1.05000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class A	38142Y534	GEIAX			.15	0.59000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class Administration	38142Y526	GEADX				0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class R6	38147X622	GEIUX				0.35000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Institutional Class	38142Y518	GEIIX				0.36000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Service Shares	38150C457	GESVX			.25	0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Class A	38141W588	GSGRX	5.50		.25	1.18000		BUY,SELL
Goldman Sachs	Goldman Sachs Equity Income Fund Class C	38142B310	GSGCX		1.00	.75	1.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Class R6	38147X457	GRGUX			.00	0.80000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Institutional Class	38141W414	GSIIX			.00	0.81000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Service Class	38141W422	GSGSX			.25	1.31000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class A Shares	38150C861	GEBAX	5.50		.25	3.70000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class C Shares	38150C853	GEBCX		1.00	.75	4.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class R6 Shares	38150C812	GEBSX				3.32000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Institutional Shares	38150C846	GEBIX				3.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Flexible Cap Fund Class A	38145C109	GALLX	5.50		.25	1.60000		BUY,SELL
Goldman Sachs	Goldman Sachs Flexible Cap Fund Class C	38145C208	GCLLX		1.00	.75	2.35000		SELL ONLY
Goldman Sachs	Goldman Sachs Flexible Cap Fund Class R6	38147X374	GFCUX			.00	1.22000		SELL ONLY
Goldman Sachs	Goldman Sachs Flexible Cap Fund Institutional Class	38145C307	GILLX			.00	1.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Class A	38147X689	GFVAX	5.50		.25	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Class C	38147X671	GFVCX		1.00	.75	2.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Class R6	38147X648	GFVUX			.00	1.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Institutional Class	38147X630	GFVSX			.00	1.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Class A Shares	38141W109	GSGIX	3.75		.25	1.17000		BUY,SELL
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Class C Shares	38142B187	GSLCX		1.00	.75	1.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Class R6 Shares	38147X549	GBIUX				0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Institutional Shares	38141W737	GSGLX				0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Service Shares	38141W729	GGISX			.25	1.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Class A	38148U833	GGIAX	5.50		.25	1.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Class C	38148U825	GGICX		1.00	.75	2.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Class R6	38148U775	GGIJX				1.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Institutional Class	38148U817	GGIDX				1.08000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Securities Fund Class A	38148U767	GARGX	5.50		.25	1.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Securities Fund Class C	38148U759	GARKX		1.00	.75	2.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Securities Fund Class R6	38148U718	GARVX				1.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Real Estate Securities Fund Institutional Class	38148U742	GARSX				1.21000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Class A	38141W604	GSGOX	3.75		.25	1.11000		BUY,SELL
Goldman Sachs	Goldman Sachs Government Income Fund Class C	38142B211	GSOCX		1.00	.75	1.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Class R6	38147X572	GSOUX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Institutional Class	38142V761	GSOIX				0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Service Class	38142V753	GSOSX			.25	1.28000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Class A	38147N327	GSIHX	5.50		.25	1.19000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Class C	38147N319	GSILX		1.00	.75	1.94000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Class R6	38147N269	GSIYX				0.80000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Institutional Shares	38147N293	GSIMX				0.81000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Class A	38142V654	GOIAX	5.50		.25	1.04000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Class C	38142V639	GOICX		1.00	.75	1.79000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Class R6	38148U205	GOIUX			.00	0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Institutional Class	38142V522	GOIIX			.00	0.67000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Service Class	38142V514	GOISX			.25	1.17000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Class A	38142V621	GGSAX	5.50		.25	1.02000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Class C	38142V597	GGSCX		1.00	.75	1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Class R6	38148U304	GGSUX			.00	0.64000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Institutional Class	38142V498	GGSIX			.00	0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Service Class	38142V480	GGSSX			.25	1.15000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Class A	38145C471	GFRAX	2.25		.25	1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Class C	38145C463	GFRCX		1.00	.75	1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Class R6	38145L166	GFRSX				0.68000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Institutional Class	38145C455	GSFRX				0.69000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Class A	38141W653	GSHAX	4.50		.25	1.11000		BUY,SELL
Goldman Sachs	Goldman Sachs High Yield Fund Class C	38142B179	GSHCX		1.00	.75	1.86000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Class R6	38148U874	GSHUX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Institutional Shares	38141W679	GSHIX				0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Service Shares	38141W661	GSHSX			.25	1.28000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Class C	38142Y591	GHYCX		1.00	.75	1.63000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Class R6	38145L216	GHYSX			.00	0.54000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Institutional Class	38142Y583	GHYIX			.00	0.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Class A	38141W562	GSBFX	5.50		.25	0.94000		BUY,SELL
Goldman Sachs	Goldman Sachs Income Builder Fund Class C	38142B286	GSBCX		1.00	.75	1.69000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Class R6	38148U809	GSBUX				0.60000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Institutional Class	38142B161	GSBIX				0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class A Shares	38150C754	GSCHX	3.75		.25	1.31000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class C Shares	38150C747	GSCJX		1.00	.75	2.06000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class R6 Shares	38150C697	GSCRX				0.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Institutional Shares	38150C739	GSNCX				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Class A Shares	38144N866	GSAPX	3.75		.25	0.71000		BUY,SELL
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Class C Shares	38144N858	GSCFX		1.00	.75	1.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Class R6 Shares	38147X580	GSRUX				0.37000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Institutional Shares	38144N841	GSIPX				0.38000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Class A	38144N486	GIDAX	5.50		.25	1.40000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Class C	38144N478	GIDCX		1.00	.75	2.15000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Class R6	38150C507	GIDUX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Institutional Class	38144N494	GIDHX				1.03000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs International Equity ESG Fund Class A	38141W596	GSIFX	5.50		.25	1.47000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity ESG Fund Class C	38142B328	GSICX		1.00	.75	2.22000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Class R6	38148U486	GSIWX				1.09000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Institutional Class	38141W448	GSIEX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Service Class	38141W430	GSISX			.25	1.60000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Class A	38144N502	GSAKX	5.50		.25	1.69000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity Income Fund Class C	38144N700	GSCKX		1.00	.75	2.44000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Class Institutional	38144N809	GSIKX				1.32000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Class R6	38148U478	GSUKX				1.31000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class A	38142V878	GCIAX	5.50		.25	1.21000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class C	38142V852	GCICX		1.00	.75	1.96000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class R6	38147X242	GCIUX				0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class S	38142V837	GCISX			.25	1.34000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Institutional Class	38142V845	GCIIX				0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Class A	38144N627	GICAX	5.50		.25	1.29000		BUY,SELL
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Class C	38144N619	GICCX		1.00	.75	2.04000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Class R6	38147X234	GICUX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Institutional Class	38144N593	GICIX				0.92000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Class A	38144N528	GATMX	5.50		.25	1.33000		BUY,SELL
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Class C	38144N510	GCTMX		1.00	.75	2.08000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Class R6	38150C606	GHTRX				0.95000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Institutional Class	38144N536	GHTMX				0.96000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Class A	38143H852	GSGAX	3.75		.25	0.79000		BUY,SELL
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Class R6	38148U866	GTIUX				0.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Institutional Shares	38143H845	GSGDX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Class A	38141W638	GSCGX	5.50		.25	1.15000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Core Fund Class C	38142B344	GSPCX		1.00	.75	1.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Class R6	38147X390	GSPUX			.00	0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Institutional Class	38142B146	GSPIX			.00	0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Service Class	38142B138	GSPSX			.25	1.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Class A	38142B435	GLCGX	5.50		.25	0.95000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Class C	38142B260	GLCCX		1.00	.75	1.70000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Class R6	38147X523	GLCUX			.00	0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Institutional Class	38142B385	GCGIX			.00	0.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Service Class	38142B377	GSCLX			.25	1.08000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Class A	38142Y815	GSLAX	5.50		.25	1.22000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Large Cap Value Fund Class C	38142Y781	GSVCX		1.00	.75	1.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Class R6	38147X440	GSVUX			.00	0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Institutional Class	38142Y773	GSLIX			.00	0.85000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Service Class	38142Y765	GSVSX			.25	1.35000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Class A	38142V225	GCVAX	5.50		.25	1.03000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Class C	38142V191	GCVCX		1.00	.75	1.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Class R6	38147X515	GCVUX			.00	0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Institutional Class	38142V183	GCVIX			.00	0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Service Class	38142V175	GCLSX			.25	1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets Debt Fund Class A	38145N105	GAMDX	4.50		.25	1.74000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets Debt Fund Class C	38145N204	GCMDX		1.00	.75	2.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets Debt Fund Class R6	38145L174	GIMSX				1.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Local Emerging Markets Debt Fund Institutional Class	38145N303	GIMDX				1.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strategies Fund Class A	38145L273	GSAUX	3.75		.25	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strategies Fund Class C	38145L265	GSAVX		1.00	.75	2.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strategies Fund Class R6	38145L141	GSSAX				1.37000		SELL ONLY
Goldman Sachs	Goldman Sachs Long Short Credit Strategies Fund Institutional Shares	38145L257	GSAWX				1.38000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Class A	38145C422	GMSAX	5.50		.25	1.79000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Class C	38145C414	GMSCX		1.00	.75	2.54000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Class R6	38150C879	GMSWX			.00	1.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Institutional Class	38145C398	GMSSX			.00	1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Class A	38142Y104	GGOAX	5.50		.25	1.37000		BUY,SELL
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Class C	38142Y302	GGOCX		1.00	.75	2.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Class R6	38148U601	GGOUX			.00	0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Institutional Class	38142Y401	GGOIX			.00	1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Service Class	38142Y500	GGOSX			.25	1.50000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Class A	38142V720	GCMAX	5.50		.25	1.20000		BUY,SELL
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Class C	38142V696	GCMCX		1.00	.75	1.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Class R6	38147X432	GCMUX			.00	0.82000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Institutional Class	38141W398	GSMCX			.00	0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Service Class	38141W380	GSMSX			.25	1.33000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Class A	38145C257	GLPAX	5.50		.25	1.48000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Class C	38145C240	GLPCX		1.00	.75	2.23000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Class R6	38150C887	GLPSX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Institutional Class	38145C232	GMLPX				1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternatives Fund Class A	38147N103	GMAMX	5.50		.25	3.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Multi-Manager Alternatives Fund Class C	38147N202	GMCMX		1.00	.75	4.15000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternatives Fund Class R6	38147N236	GMMFX				3.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Manager Alternatives Fund Institutional Class	38147N301	GSMMX				3.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Class A	38142V829	GREAX	5.50		.25	1.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Class C	38142V795	GRECX		1.00	.75	2.30000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Class R6	38147X275	GREUX				1.17000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Institutional Class	38142V787	GREIX				1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Service Class	38142V779	GRESX			.25	1.68000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Class A	38145C315	GSRAX	5.50		.25	1.28000		BUY,SELL
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Class C	38145C299	GSRCX		1.00	.75	2.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Class R6	38148U114	GSRFX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Institutional Class	38145C281	GSRLX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfolio Class A	38143H357	GXSAX	5.50		.25	1.58000		BUY,SELL
Goldman Sachs	Goldman Sachs Satellite Strategies Portfolio Class C	38143H340	GXSCX		1.00	.75	2.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfolio Class R6	38148U502	GXSUX			.00	1.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfolio Institutional Class	38143H332	GXSIX			.00	1.21000		SELL ONLY
Goldman Sachs	Goldman Sachs Satellite Strategies Portfolio Service Class	38145L406	GXSSX			.25	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Class A	38145L646	GDIAX	1.50		.25	0.80000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Class C	38145L638	GDICX		0.65	.75	1.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Class R6	38147X564	GDIUX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Institutional Class	38145L620	GDFIX				0.47000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Class A	38142B476	GSSDX	1.50		.25	0.88000		BUY,SELL
Goldman Sachs	Goldman Sachs Short Duration Government Fund Class C	38142B237	GSDCX		0.65	.75	1.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Class R6	38147X598	GSTUX				0.54000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Institutional Class	38141W307	GSTGX				0.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Service Class	38141W869	GSDSX			.25	1.05000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Class C	38142B245	GSTCX		0.65	.75	1.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Class R6	38145L182	GDUSX			.00	0.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Institutional Class	38141W406	GSDUX			.00	0.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Service Class	38141W885	GSFSX			.25	0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Class A	38148U288	GPAPX			.15	0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Class R6 Shares	38145L133	GPPSX				0.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Institutional Shares	38147X705	GPPIX				0.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Class A	38142V506	GCSAX	5.50		.25	1.30000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Class C	38142V704	GCSCX		1.00	.75	2.05000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Class R6	38147X499	GCSUX			.00	0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Institutional Class	38142V803	GCSIX			.00	0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Service Class	38142V886	GCSSX			.25	1.43000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Class A Shares	38145C182	GSBDX	5.50		.25	2.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Class C Shares	38145C174	GSBAX		1.00	.75	2.88000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Class R6 Shares	38145C158	GSBEX			.00	1.75000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Institutional Shares	38145C141	GSAJX			.00	1.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Class A	38143H225	GSAOX	5.50		.25	1.32000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Class C	38143H191	GSCOX		1.00	.75	2.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Class R6	38147X481	GINUX			.00	0.94000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Institutional Class	38143H183	GSIOX			.00	0.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Class A	38141W612	GSSMX	5.50		.25	1.36000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Value Fund Class C	38142B336	GSSCX		1.00	.75	2.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Class R6	38147X424	GSSUX			.00	0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Institutional Class	38142V209	GSSIX			.00	0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Service Class	38142V308	GSSSX			.25	1.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Class A	38143H282	GSATX	5.50		.25	1.27000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Class C	38143H266	GSCTX		1.00	.75	2.02000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Class R6	38147X473	GTTUX			.00	0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Institutional Class	38143H241	GSITX			.00	0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Class A	38143H779	GSMAX	5.50		.25	1.27000		BUY,SELL
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Class C	38143H753	GSMGX		1.00	.75	2.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Class R6	38148U700	GTMUX			.00	0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Institutional Class	38143H746	GSMYX			.00	0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Service Class	38143H738	GSMQX			.25	1.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Class A	38147X101	GMVAX	5.50		.25	1.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Class C	38147X200	GMVCX		1.00	.75	2.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Class R6	38147X416	GMCUX			.00	0.96000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Institutional Class	38147X309	GSMVX			.00	0.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Class A	38142Y609	GGRAX	5.50		.25	1.29000		BUY,SELL
Goldman Sachs	Goldman Sachs Strategic Growth Fund Class C	38142Y807	GGRCX		1.00	.75	2.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Class R6	38147X358	GGRUX			.00	0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Institutional Class	38142Y880	GSTIX			.00	0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Service Class	38142Y872	GSTSX			.25	1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Class A	38145C661	GSZAX	3.75		.25	1.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Class C	38145C653	GSZCX		1.00	.75	1.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Strategic Income Fund Class R6	38147X531	GSZUX				0.75000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Income Fund Institutional Class	38145C646	GSZIX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class A	38142B120	TAGGX	5.50		.25	1.38000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class R6 Shares	38148U189	TRGGX				1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global Equity Portfolio Institutional Class	38142B112	TIGGX				1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Class A	38142Y823	GITAX	5.50		.25	1.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Class C	38142Y849	GITCX		1.00	.75	2.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Class R6 Shares	38148U148	GTORX			.00	1.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Institutional Class	38142Y856	GITIX			.00	1.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Service Class	38142Y864	GITSX			.25	1.54000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Class A	38143H712	GSPAX	5.50		.25	1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Class C	38143H696	GSPQX		1.00	.75	1.88000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Class R6	38150C804	GIDWX				0.75000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Institutional Class	38143H720	GSPKX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Class A	38144N288	GAGVX	5.50		.25	2.17000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Class C	38144N270	GCGVX		1.00	.75	2.92000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Class R6	38147X341	GDEUX			.00	1.79000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Institutional Class	38144N247	GINGX			.00	1.80000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Class A	38141W620	GSSQX	5.50		.25	0.97000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Class C	38142B278	GSUSX		1.00	.75	1.72000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Class R6	38147X465	GSEUX			.00	0.59000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Institutional Class	38141W372	GSELX			.00	0.60000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Service Class	38141W463	GSESX			.25	1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Class A Shares	38143H878	GSUAX	3.75		.25	0.85000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Class R6 Shares	38148U858	GGIUX				0.51000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Institutional Shares	38143H860	GSUIX				0.52000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Class A	38142Y674	GCTAX	5.50		.25	1.13000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Class C	38142Y658	GCTCX		1.00	.75	1.88000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Class R6	38150C705	GCTRX				0.75000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Institutional Class	38142Y641	GCTIX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Service Class	38142Y633	GCTSX			.25	1.26000		SELL ONLY
Grandeur Peak Funds	Grandeur Peak Emerging Markets Opportunities Fund Institutional Class	31761R401	GPEIX			.00	1.52000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Emerging Markets Opportunities Fund Investor Class	31761R302	GPEOX			.25	1.78000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Contrarian Fund Institutional Class	31761R195	GPGCX			.00	1.40000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Micro Cap Fund Institutional Class	31761R732	GPMCX			.00	1.94000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Grandeur Peak Funds	Grandeur Peak Global Opportunities Fund Institutional Class	317609360	GPGIX			.00	1.34000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Opportunities Fund Investor Class	317609386	GPGOX			.25	1.59000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Reach Fund Institutional Class	31761R203	GPRIX			.00	1.25000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Reach Fund Investor Class	31761R104	GPROX			.25	1.50000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Stalwarts Fund Institutional Class	31761R773	GGSYX			.00	0.93000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Stalwarts Fund Investor Class	31761R781	GGSOX			.25	1.17000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Opportunities Fund Institutional Class	317609352	GPIIX			.00	1.35000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Opportunities Fund Investor Class	317609378	GPIOX			.25	1.60000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Stalwarts Fund Institutional Class	31761R757	GISYX			.00	0.89000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Stalwarts Fund Investor Class	31761R765	GISOX			.25	1.14000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak US Stalwarts Fund Institutional Class	31761R153	GUSYX			.00	0.91000	2.00	SELL ONLY
Grandeur peak global	Grandeur Peak Global Explorer Fund Institutional Class	317612786	GPGEX			.00	2.45000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim Alpha Opportunity Fund Class A	40168W285	SAOAX	4.75		.25	1.94000		SELL ONLY
Guggenheim Investments	Guggenheim Alpha Opportunity Fund Class C	40168W277	SAOCX		1.00	1.00	2.75000		SELL ONLY
Guggenheim Investments	Guggenheim Alpha Opportunity Fund Class P	40169J309	SAOSX			.25	1.96000		SELL ONLY
Guggenheim Investments	Guggenheim Alpha Opportunity Fund Institutional Class	40168W269	SAOIX				1.58000		SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Class A	40168W657	SIUSX	4.00		.25	0.85000		SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Class C	40168W632	SDICX		1.00	1.00	1.61000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Core Bond Fund Class P	40169J606	SIUPX			.25	0.90000		SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Institutional Class	40168W624	GIUSX				0.60000		SELL ONLY
Guggenheim Investments	Guggenheim Directional Allocation Fund Class A	89386C662	TVRAX	4.75		.25	1.44000		SELL ONLY
Guggenheim Investments	Guggenheim Directional Allocation Fund Class C	89386C654	TVRCX		1.00	1.00	2.15000		SELL ONLY
Guggenheim Investments	Guggenheim Directional Allocation Fund Class I	89386C639	TVRIX				1.15000		SELL ONLY
Guggenheim Investments	Guggenheim Directional Allocation Fund Class P	89386C647	TVFRX			.25	1.38000		SELL ONLY
Guggenheim Investments	Guggenheim Diversified Income Fund Class A	40169J770	GUDAX	4.00		.25	4.82000		SELL ONLY
Guggenheim Investments	Guggenheim Diversified Income Fund Class C	40169J762	GUDCX		1.00	1.00	5.58000		SELL ONLY
Guggenheim Investments	Guggenheim Diversified Income Fund Class P	40169J739	GUDPX			.25	4.82000		SELL ONLY
Guggenheim Investments	Guggenheim Diversified Income Fund Institutional	40169J754	GUDIX				4.45000		SELL ONLY
Guggenheim Investments	Guggenheim Enhanced World Equity Fund Cl C	40168W400	GEEFX		1.00	1	4.5700		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Class A	40168W731	GIFAX	3.00		.25	1.12000		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Class C	40168W723	GIFCX		1.00	1.00	1.89000		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Class P	40169J408	GIFPX			.25	1.09000		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Institutional Class	40168W715	GIFIX				0.88000		SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class A	40168W699	SIHAX	4.00		.25	1.07000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class C	40168W673	SIHSX		1.00	1.00	1.91000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class P	40169J507	SIHPX			.25	1.20000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim High Yield Fund Institutional Class	40168W665	SHYIX				0.88000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim Large Cap Value Fund Class A	40168W475	SECIX	4.75		.25	1.47000		SELL ONLY
Guggenheim Investments	Guggenheim Large Cap Value Fund Class C	40168W459	SEGIX		1.00	1.00	2.36000		SELL ONLY
Guggenheim Investments	Guggenheim Large Cap Value Fund Class Institutional	40168W442	GILCX				1.24000		SELL ONLY
Guggenheim Investments	Guggenheim Large Cap Value Fund Class P	40169J853	SEGPX			.25	1.71000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund A-Class	40168W517	GILDX	2.25		.25	0.79000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund C-Class	40168W491	GILFX		1.00	1.00	1.58000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund Class P	40169J705	GILPX			.25	0.83000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund Institutional Class	40168W483	GILHX				0.56000		SELL ONLY
Guggenheim Investments	Guggenheim Long Short Equity Fund Class A	78355E510	RYAMX	4.75		.25	1.66000		SELL ONLY
Guggenheim Investments	Guggenheim Long Short Equity Fund Class C	78355E825	RYISX		1.00	1.00	2.41000		SELL ONLY
Guggenheim Investments	Guggenheim Long Short Equity Fund Class P	78355E833	RYSRX			.25	1.66000		SELL ONLY
Guggenheim Investments	Guggenheim Long Short Equity Fund Institutional Class Shares	78356C687	RYQTX				1.41000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class A	40168W616	GIOAX	4.00		.25	1.47000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class C	40168W590	GIOCX		1.00	1.00	2.22000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class P	40169J804	GIOPX			.25	1.49000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Institutional Class	40168W582	GIOIX				1.12000		SELL ONLY
Guggenheim Investments	Guggenheim Managed Futures Strategy Fund Class P	78356A491	RYMFX			.25	1.92000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Market Neutral Real Estate Fund Class A	40169J689	GUMAX	4.75		.25	2.08000		SELL ONLY
Guggenheim Investments	Guggenheim Market Neutral Real Estate Fund Class C	40169J721	GUMCX		1.00	1.00	2.71000		SELL ONLY
Guggenheim Investments	Guggenheim Market Neutral Real Estate Fund Class P	40169J697	GUMPX			.25	1.91000		SELL ONLY
Guggenheim Investments	Guggenheim Market Neutral Real Estate Fund Institutional	40169J713	GUMNX				1.58000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class A	78356A855	RYMQX	4.75		.25	2.32000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class C	78356A848	RYMRX		1.00	1.00	3.07000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class I	78356A137	RYIMX				2.06000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class P	78356A780	RYMSX			.25	2.32000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Class A	40168W574	GIJAX	4.00		.25	1.35000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Class C	40168W566	GIJCX		1.00	1.00	2.15000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Class P	40169J887	GIJPX			.25	1.56000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Institutional Class	40168W558	GIJIX				1.14000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Dividend Fund Class A	89386C696	TVEAX	4.75		.25	1.91000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Dividend Fund Class C	89386C688	TVECX		1.00	1.00	2.70000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Dividend Fund Class I	89386C712	TVEIX				1.62000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Dividend Fund Class P	89386C670	TVEFX			.25	1.93000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Defensive Fund Class A	89386C308	TVDAX	4.75		.25	2.70000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Defensive Fund Class C	89386C878	TVDCX		1.00	1.00	3.41000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim RBP? Large-Cap Defensive Fund Class I	89386C886	TVIDX				2.40000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Defensive Fund Class P	89386C407	TVFDX			.25	2.76000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Market Fund Class A	89386C506	TVMAX	4.75		.25	2.48000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Market Fund Class C	89386C852	TVMCX		1.00	1.00	3.22000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Market Fund Class I	89386C860	TVIMX				2.15000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Market Fund Class P	89386C605	TVFMX			.25	2.61000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Value Fund Class A	89386C753	TVVAX	4.75		.25	5.90000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Value Fund Class C	89386C746	TVVCX		1.00	1.00	6.52000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Value Fund Class I	89386C720	TVVIX				5.49000		SELL ONLY
Guggenheim Investments	Guggenheim RBP? Large-Cap Value Fund Class P	89386C738	TVVFX			.25	5.74000		SELL ONLY
Guggenheim Investments	Guggenheim Risk Managed Real Estate Fund Class A	40168W384	GURAX	4.75		.25	1.39000		SELL ONLY
Guggenheim Investments	Guggenheim Risk Managed Real Estate Fund Class C	40168W376	GURCX		1.00	1.00	2.21000		SELL ONLY
Guggenheim Investments	Guggenheim Risk Managed Real Estate Fund Class P	40169J838	GURPX			.25	1.47000		SELL ONLY
Guggenheim Investments	Guggenheim Risk Managed Real Estate Fund Institutional	40168W368	GURIX				1.10000		SELL ONLY
Guggenheim Investments	Guggenheim Series Trust Managed Futures Strategy Fund Class A	78356A517	RYMTX	4.75		.25	1.92000		SELL ONLY
Guggenheim Investments	Guggenheim Series Trust Managed Futures Strategy Fund Class C	78356A525	RYMZX		1.00	1.00	2.67000		SELL ONLY
Guggenheim Investments	Guggenheim Series Trust Managed Futures Strategy Fund Class I	78356A145	RYIFX				1.67000		SELL ONLY
Guggenheim Investments	Guggenheim Small Cap Value Fund Class A	40168W855	SSUAX	4.75		.25	4.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Small Cap Value Fund Class C	40168W871	SSVCX		1.00	1.00	5.04000		SELL ONLY
Guggenheim Investments	Guggenheim Small Cap Value Fund Class P	40169J820	SSUPX			.25	4.39000		SELL ONLY
Guggenheim Investments	Guggenheim Small Cap Value Institutional Fund	40168W848	SSUIX				3.80000		SELL ONLY
Guggenheim Investments	Guggenheim SMid Cap Value Fund Class A	40168W749	SEVAX	4.75		.25	1.20000		BUY,SELL
Guggenheim Investments	Guggenheim SMid Cap Value Fund Class C	40168W780	SEVSX		1.00	1.00	2.05000		SELL ONLY
Guggenheim Investments	Guggenheim SMid Cap Value Fund Class P	40169J846	SEVPX			.25	1.32000		SELL ONLY
Guggenheim Investments	Guggenheim SMid Cap Value Fund Institutional Class	40169J499	SVUIX				1.06000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Large Core Fund Class A	40168W103	SECEX	4.75		.25	1.37000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Large Core Fund Class C	40168W764	SFECX		1.00	1.00	2.29000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Large Core Fund Class P	40169J812	SFEPX			.25	1.50000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Large Core Fund Institutional	40168W608	GILIX				1.20000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Mid Growth Fund Class A	40168W434	SECUX	4.75		.25	1.48000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Mid Growth Fund Class C	40168W418	SUFCX		1.00	1.00	2.40000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Mid Growth Fund Class P	40169J796	SEUPX			.25	1.57000		SELL ONLY
Guggenheim Investments	Guggenheim StylePlus - Mid Growth Fund Institutional	40168W392	GIUIX				1.31000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Class A	40168W541	GIBAX	4.00		.25	0.84000		BUY,SELL
Guggenheim Investments	Guggenheim Total Return Bond Fund Class C	40168W533	GIBCX		1.00	1.00	1.59000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Class P	40169J879	GIBLX			.25	0.87000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Total Return Bond Fund Class R6	40169J200	GIBRX				0.50000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Institutional Class	40168W525	GIBIX				0.57000		SELL ONLY
Guggenheim Investments	Guggenheim Ultra Short Duration Fund Class A	40169J549	GIYAX			.25	0.63000		SELL ONLY
Guggenheim Investments	Guggenheim Ultra Short Duration Fund Institutional	40169J523	GIYIX				0.34000		SELL ONLY
Guggenheim Investments	Guggenheim World Equity Income Fund Class A	40168W707	SEQAX	4.75		.25	1.45000		SELL ONLY
Guggenheim Investments	Guggenheim World Equity Income Fund Class C	40168W772	SFGCX		1.00	1.00	2.28000		SELL ONLY
Guggenheim Investments	Guggenheim World Equity Income Fund Class P	40169J788	SEQPX			.25	1.53000		SELL ONLY
Guggenheim Investments	Guggenheim World Equity Income Fund Institutional Class	40168W806	SEWIX				1.21000		SELL ONLY
GuideStone Funds	GuideStone Funds Aggressive Allocation Fund Institutional Class	40171Y807	GAGYX				0.66000		SELL ONLY
GuideStone Funds	GuideStone Funds Aggressive Allocation Fund Investor Class	40171W876	GGBZX				0.91000		SELL ONLY
GuideStone Funds	GuideStone Funds Balanced Allocation Fund Institutional Class	40171Y609	GBAYX				0.64000		SELL ONLY
GuideStone Funds	GuideStone Funds Balanced Allocation Fund Investor Class	40171W405	GGIZX				0.89000		SELL ONLY
GuideStone Funds	GuideStone Funds Conservative Allocation Fund Institutional Class	40171Y500	GCAYX				0.61000		SELL ONLY
GuideStone Funds	GuideStone Funds Conservative Allocation Fund Investor Class	40171W108	GFIZX				0.86000		SELL ONLY
GuideStone Funds	GuideStone Funds Defensive Market Strategies Fund Institutional Class	40171W199	GDMYX				0.66000		SELL ONLY
GuideStone Funds	GuideStone Funds Defensive Market Strategies Fund Investor Class	40171W181	GDMZX				0.93000		SELL ONLY
GuideStone Funds	GuideStone Funds Emerging Markets Equity Fund Institutional Class	40171W132	GEMYX				1.05000		SELL ONLY
GuideStone Funds	GuideStone Funds Emerging Markets Equity Fund Investor Class	40171W124	GEMZX				1.34000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
GuideStone Funds	GuideStone Funds Equity Index Fund Institutional Class	40171W629	GEQYX				0.12000		SELL ONLY
GuideStone Funds	GuideStone Funds Equity Index Fund Investor Class	40171W611	GEQZX				0.39000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Bond Fund Institutional Class	40171Y203	GGBEX				0.57000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Bond Fund Investor Class	40171W231	GGBFX				0.86000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Impact Fund Institutional	40171Y799	GGIYX				0.82000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Impact Fund Investor	40171Y815	GGIIX				1.21000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Real Estate Securities Fund Institutional Class	40171Y302	GREYX				0.80000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Real Estate Securities Fund Investor Class	40171W223	GREZX				1.08000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Allocation Fund Institutional Class	40171Y708	GGRYX				0.66000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Allocation Fund Investor Class	40171W702	GCOZX				0.92000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Fund Institutional Class	40171W538	GGEYX				0.65000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Fund Investor Class	40171W520	GGEZX				0.91000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Fund Institutional Class	40171W447	GIEYX				0.88000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Fund Investor Class	40171W439	GIEZX				1.15000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Index Fund Institutional Class	40171Y401	GIIYX				0.23000		SELL ONLY
GuideStone Funds	GuideStone Funds Low-Duration Bond Fund Institutional Class	40171W751	GLDYX				0.34000		SELL ONLY
GuideStone Funds	GuideStone Funds Low-Duration Bond Fund Investor Class	40171W744	GLDZX				0.61000		SELL ONLY
GuideStone Funds	GuideStone Funds Medium-Duration Bond Fund Institutional Class	40171W710	GMDYX				0.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
GuideStone Funds	GuideStone Funds Medium-Duration Bond Fund Investor Class	40171W694	GMDZX				0.65000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2015 Fund Institutional	40171Y880	GMTYX				0.52000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2015 Fund Investor Class	40171W363	GMTZX				0.77000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2025 Fund Institutional	40171Y872	GMWYX				0.51000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2025 Fund Investor Class	40171W330	GMWZX				0.76000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2035 Fund Institutional	40171Y864	GMHYX				0.48000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2035 Fund Investor Class	40171W298	GMHZX				0.74000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2045 Fund Institutional	40171Y856	GMYYX				0.47000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2045 Fund Investor Class	40171W264	GMFZX				0.72000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2055 Fund Institutional	40171Y849	GMGYX				0.50000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2055 Fund Investor Class	40171W173	GMGZX				0.75000		SELL ONLY
GuideStone Funds	GuideStone Funds Small Cap Equity Fund Institutional Class	40171W488	GSCYX				0.91000		SELL ONLY
GuideStone Funds	GuideStone Funds Small Cap Equity Fund Investor Class	40171W470	GSCZX				1.17000		SELL ONLY
GuideStone Funds	GuideStone Funds Strategic Alternatives Fund Institutional	40171Y831	GFSYX				1.31000		SELL ONLY
GuideStone Funds	GuideStone Funds Strategic Alternatives Fund Investor	40171Y823	GFSZX				1.66000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Fund Institutional Class	40171W579	GVEYX				0.64000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Fund Investor Class	40171W561	GVEZX				0.90000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Administrative Class	411511827	HRCAX			.25	0.96000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Harbor	Harbor Capital Appreciation Fund Institutional Class	411511504	HACAX				0.71000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Investor Class	411511819	HCAIX			.25	1.07000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Retirement Class	411512528	HNACX				0.63000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Administrative Class	411512726	HRCSX			.25	1.06000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Institutional Class	411512734	HACSX				0.81000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Investor Class	411512718	HICSX			.25	1.17000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Retirement Class	411512387	HNCVX				0.73000		SELL ONLY
Harbor	Harbor Core Plus Fund Administrative Class	411511686	HRBDX			.25	0.64000		SELL ONLY
Harbor	Harbor Core Plus Fund Institutional Class	411511108	HABDX				0.39000		SELL ONLY
Harbor	Harbor Disruptive Innovation Fund Administrative Class	411511793	HRMGX			.25	1.13000		SELL ONLY
Harbor	Harbor Disruptive Innovation Fund Investor Class	411511785	HIMGX			.25	1.24000		SELL ONLY
Harbor	Harbor Disruptive Innovation Fund Retirement Class	411512510	HNMGX				0.80000		SELL ONLY
Harbor	Harbor Disruptive Innovation Institutional Class	411511876	HAMGX				0.88000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Administrative Class	411512585	HRIDX			.25	1.17000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Institutional Class	411512593	HAIDX				0.92000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Investor Class	411512577	HIIDX			.25	1.28000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Retirement Class	411512437	HNIDX				0.84000		SELL ONLY
Harbor	Harbor Global Leaders Fund Administrative Class	411512866	HRGAX			.25	1.20000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Harbor	Harbor Global Leaders Fund Institutional Class	411512874	HGGAX				0.95000		SELL ONLY
Harbor	Harbor Global Leaders Fund Investor Class	411512858	HGGIX			.25	1.31000		SELL ONLY
Harbor	Harbor Global Leaders Fund Retirement Class	411512411	HNGIX				0.87000		SELL ONLY
Harbor	Harbor High Yield Bond Fund Retirement Class	411512379	HNHYX				0.66000		SELL ONLY
Harbor	Harbor High-Yield Bond Fund Administrative Class	411511546	HYFRX			.25	0.99000		SELL ONLY
Harbor	Harbor High-Yield Bond Fund Institutional Class	411511553	HYFAX				0.74000		SELL ONLY
Harbor	Harbor High-Yield Bond Fund Investor Class	411511538	HYFIX			.25	1.10000		SELL ONLY
Harbor	Harbor International Fund Administrative Class	411511652	HRINX			.25	1.13000		SELL ONLY
Harbor	Harbor International Fund Institutional Class	411511306	HAINX				0.88000		SELL ONLY
Harbor	Harbor International Fund Investor Class	411511645	HIINX			.25	1.24000		SELL ONLY
Harbor	Harbor International Fund Retirement Class	411512445	HNINX				0.80000		SELL ONLY
Harbor	Harbor International Growth Fund Administrative Class	411511637	HRIGX			.25	1.14000		SELL ONLY
Harbor	Harbor International Growth Fund Institutional Class	411511801	HAIGX				0.89000		SELL ONLY
Harbor	Harbor International Growth Fund Investor Class	411511629	HIIGX			.25	1.25000		SELL ONLY
Harbor	Harbor International Growth Fund Retirement Class	411512429	HNGFX				0.81000		SELL ONLY
Harbor	Harbor International Small Cap Fund Administrative Class	411512551	HRISX			.25	1.50000		SELL ONLY
Harbor	Harbor International Small Cap Fund Institutional Class	411512569	HAISX				1.25000		SELL ONLY
Harbor	Harbor International Small Cap Fund Investor Class	411512544	HIISX			.25	1.61000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Harbor	Harbor International Small Cap Fund Retirement Class	411512536	HNISX				1.17000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Administrative Class	411511751	HRLVX			.25	0.97000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Institutional Class	411511603	HAVLX				0.72000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Investor Class	411511744	HILVX			.25	1.08000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Retirement Class	411512478	HNLVX				0.64000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Administrative Class	411511728	HRMVX			.25	1.14000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Institutional Class	411511835	HAMVX				0.89000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Investor Class	411511736	HIMVX			.25	1.25000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Retirement Class	411512460	HNMVX				0.81000		SELL ONLY
Harbor	Harbor Overseas Fund Institutional Class	411512163	HAOSX				1.27000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Administrative Class	411511769	HRSGX			.25	1.12000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Institutional Class	411511868	HASGX				0.87000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Investor Class	411511777	HISGX			.25	1.23000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Retirement Class	411512494	HNSGX				0.79000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Administrative Class	411511710	HSVRX			.25	1.12000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Institutional Class	411511843	HASCX				0.87000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Investor Class	411511694	HISVX			.25	1.23000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Retirement Class	411512452	HNVRX				0.79000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class A	41664R440	HAFAX	4.50		.25	0.96000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class C	41664R432	HAICX		1.00	1.00	1.72000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class F	41664T388	HAFDX				0.57000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class I	41664R424	HAFIX				0.68000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class R3	41664R416	HAFRX			.50	1.29000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class R4	41664R390	HAFSX			.25	0.99000		SELL ONLY
Hartford Mutual Funds	Hartford AARP Balanced Retirement Fund Class Y	41664R374	HAFYX				0.67000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class A	41664L740	HCKAX	5.50		.25	0.91000		BUY,SELL
Hartford Mutual Funds	Hartford Checks and Balances Fund Class C	41664L724	HCKCX		1.00	1.00	1.69000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class F	41664T693	HCKFX				0.58000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class I	41664L393	HCKIX				0.67000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class R3	41664L278	HCKRX			.50	1.29000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class R4	41664L260	HCKSX			.25	0.99000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class A	41664T701	HEOMX	5.50		.25	1.23000		BUY,SELL
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class C	41664T800	HEONX		1.00	1.00	2.06000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class F	41664T636	HEOFX				0.84000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class I	41664T883	HEOIX				0.96000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class R3	41664T875	HEORX			.50	1.56000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class R4	41664T867	HEOSX			.25	1.26000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class Y	41664T834	HEOYX				0.95000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class A	416648715	HCVAX	5.50		.25	1.06000		BUY,SELL
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class C	416648681	HCVCX		1.00	1.00	1.85000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class F	41664T685	HCVFX				0.71000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class I	416649507	HCVIX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class R3	416649739	HCVRX			.50	1.43000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class R4	416649432	HCVSX			.25	1.12000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class A	416645679	HAIAX	5.50		.25	0.70000		BUY,SELL
Hartford Mutual Funds	Hartford Core Equity Fund Class C	416645547	HGICX		1.00	1.00	1.45000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class F	41664T677	HGIFX				0.36000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class I	41664R192	HGIIX				0.45000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class R3	416649564	HGIRX			.50	1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class R4	416649267	HGISX			.25	0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class Y	416645653	HGIYX				0.45000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class A	41665K360	HDBAX	4.50		.25	1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class C	41665K352	HDBCX		1.00	1.00	1.89000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class F	41665K329	HDBFX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class I	41665K345	HDBIX				0.90000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class Y	41665K337	HDBYX				0.90000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class A	41664M417	HERAX	5.50		.25	1.44000		BUY,SELL
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class C	41664M391	HERCX		1.00	1.00	2.27000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class F	41664T651	HERFX				1.02000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class I	41664M383	HERIX				1.12000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class R3	41664M375	HERRX			.50	1.74000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class R4	41664M367	HERSX			.25	1.44000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class Y	41664M342	HERYX				1.13000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class A	41664M334	HLDAX	4.50		.25	1.49000		BUY,SELL
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class C	41664M326	HLDCX		1.00	1.00	2.25000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class F	41664T644	HLDFX				1.04000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class I	41664M318	HLDIX				1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class R3	41664M292	HLDRX			.50	1.76000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class R4	41664M284	HLDSX			.25	1.46000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class Y	41664M268	HLDYX				1.14000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class A	416648558	HFLAX	3.00		.25	1.02000		BUY,SELL
Hartford Mutual Funds	Hartford Floating Rate Fund Class C	416648533	HFLCX		1.00	1.00	1.76000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class F	41664T610	HFLFX				0.67000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class I	416649804	HFLIX				0.74000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class R3	416649531	HFLRX			.50	1.38000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class R4	416649234	HFLSX			.25	1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class Y	416648525	HFLYX				0.77000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class A	41664M177	HFHAX	3.00		.25	1.17000		BUY,SELL
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class C	41664M169	HFHCX		1.00	1.00	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class F	41664T594	HFHFX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class I	41664M151	HFHIX				0.88000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class R3	41664M144	HFHRX			.50	1.51000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class R4	41664M136	HFHSX			.25	1.22000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate High Income Fund Class Y	41664M110	HFHYX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class A	41664T826	HGXAX	5.50		.25	1.32000		BUY,SELL
Hartford Mutual Funds	Hartford Global Impact Fund Class C	41664T818	HGXCX		1.00	1.00	2.09000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class F	41665K543	HGXFX				0.84000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class I	41664T792	HGXIX				0.94000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class R3	41664T776	HGXRX			.50	1.54000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class R4	41664T768	HGXSX			.25	1.24000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class Y	41664T784	HGXYX				0.95000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class A	416648772	HRAAX	5.50		.25	1.06000		BUY,SELL
Hartford Mutual Funds	Hartford Growth Allocation Fund Class C	416648756	HRACX		1.00	1.00	1.86000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class F	41664T545	HRAFX				0.68000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class I	416649879	HRAIX				0.82000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class R3	416649754	HRARX			.50	1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class R4	416649457	HRASX			.25	1.10000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class A	416645489	HAHAX	4.50		.25	1.00000		BUY,SELL
Hartford Mutual Funds	Hartford High Yield Fund Class C	416645463	HAHCX		1.00	1.00	1.72000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class F	41664T511	HAHFX				0.58000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class R3	416649648	HAHRX			.50	1.29000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class R4	416649341	HAHSX			.25	1.00000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class Y	416645455	HAHYX				0.69000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Institutional	41664L625	HAHIX				0.68000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class A	416646156	HIPAX	4.50		.25	0.85000		BUY,SELL
Hartford Mutual Funds	Hartford Inflation Plus Fund Class C	416646131	HIPCX		1.00	1.00	1.58000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class F	41664T495	HIPFX				0.45000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class I	416649853	HIPIX				0.55000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class R3	416649598	HIPRX			.50	1.17000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class R4	416649291	HIPSX			.25	0.87000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class Y	416648830	HIPYX				0.56000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford International Equity Fund Class A	41664L385	HDVAX	5.50		.25	0.94000		BUY,SELL
Hartford Mutual Funds	Hartford International Equity Fund Class C	41664L369	HDVCX		1.00	1.00	1.72000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class F	41664T487	HDVFX				0.52000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class I	41664L351	HDVIX				0.61000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class R3	41664L336	HDVRX			.50	1.24000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class R4	41664L328	HDVSX			.25	0.94000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class Y	41664L344	HDVYX				0.63000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class A	416645182	HNCAX	5.50		.25	1.26000		BUY,SELL
Hartford Mutual Funds	Hartford International Growth Fund Class C	416645166	HNCCX		1.00	1.00	2.09000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class F	41664T479	HNCFX				0.84000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class I	416649846	HNCJX				1.04000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class R3	416649689	HNCRX			.50	1.56000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class R4	416649382	HNCSX			.25	1.26000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class Y	416646800	HNCYX				0.95000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class A	41664M664	HILAX	5.50		.25	1.22000		BUY,SELL
Hartford Mutual Funds	Hartford International Value Fund Class C	41664M656	HILCX		1.00	1.00	1.97000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class F	41664T446	HILDX				0.84000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class I	41664M631	HILIX				0.95000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford International Value Fund Class R3	41664M623	HILRX			.50	1.56000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class R4	41664M615	HILSX			.25	1.26000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class A	416646107	HMVAX	5.50		.25	1.18000		BUY,SELL
Hartford Mutual Funds	Hartford MidCap Value Fund Class C	416646305	HMVCX		1.00	1.00	1.96000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class F	41664T412	HMVFX				0.77000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class I	41664M425	HMVJX				0.85000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class R3	41664M698	HMVRX			.50	1.49000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class R4	41664M680	HMVSX			.25	1.19000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class Y	416646875	HMVYX				0.88000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class A	416648749	HBAAX	5.50		.25	1.03000		BUY,SELL
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class C	416648723	HBACX		1.00	1.00	1.82000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class F	41664T396	HBADX				0.68000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class I	416649200	HBAIX				0.77000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class R3	416649747	HBARX			.50	1.38000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class R4	416649440	HBASX			.25	1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class A	416645810	ITTAX	5.50		.25	1.01000		BUY,SELL
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class C	416645588	HAFCX		1.00	1.00	1.73000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class F	41664T735	ITTFX				0.62000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class I	41664R168	ITTIX				0.70000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class R3	416649630	ITTRX			.50	1.34000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class R4	416649333	ITTSX			.25	1.04000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class Y	416645786	IHAYX				0.73000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class C	41664L682	HHMCX		1.00	1.00	1.42000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class F	41664T362	HHMFX				0.35000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class I	41664L674	HHMIX				0.42000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class Y	41665K527	HHMYX				0.44000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Class C	41664T503	HMJCX		1.00	1.00	1.85000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Class F	41664T347	HMJFX				0.74000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Class I	41664T602	HMJIX				0.83000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class A	416529782	HVOAX	5.50		.25	0.97000		BUY,SELL
Hartford Mutual Funds	Hartford Quality Value Fund Class C	416529766	HVOCX		1.00	1.00	1.80000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class F	41665X578	HVOFX				0.56000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class I	416641405	HVOIX				0.65000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class R3	416641801	HVORX			.50	1.27000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class R4	416641850	HVOSX			.25	0.97000		SELL ONLY
Hartford Mutual Funds	Hartford Quality Value Fund Class Y	416529717	HVOYX				0.66000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class A	41664M581	HRLAX	5.50		.25	1.55000		BUY,SELL
Hartford Mutual Funds	Hartford Real Asset Fund Class F	41664T552	HRLFX				1.13000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class I	41664M565	HRLIX				1.22000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class R3	41664M540	HRLRX			.50	1.85000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class R4	41664M532	HRLSX			.25	1.55000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class Y	41664M557	HRLYX				1.21000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class A	41665X370	HSHAX	5.50		.25	1.94000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class C	41665X321	HSHCX		1.00	1.00	2.66000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class F	41665X347	HSHFX				1.54000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class I	41665X362	HSHIX				1.65000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class SDR	41665X339	HSHRX				1.54000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders China A Fund Class Y	41665X354	HSHYX				1.65000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class A	416529311	HSXAX	5.50		.25	1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class C	416529295	HSXCX		1.00	1.00	2.14000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class F	416529261	HSXFX				1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class I	416529287	HSXIX				1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class SDR	41665X297	HSDEX				1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class Y	416529279	HSXYX				1.15000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class A	41665H862	SEMVX	5.50		.25	1.45000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class C	41665H854	HHHCX		1.00	1.00	2.14000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class F	41665X859	HHHFX				1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class I	41665H847	SEMNX				1.23000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class R3	41665H839	HHHRX			.50	1.77000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class R4	41665H821	HHHSX			.25	1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class SDR	41665H789	SEMTX				1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class Y	41665H797	HHHYX				1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class A	41665H771	SMSVX	4.50		.25	1.48000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class C	41665H763	HFZCX		1.00	1.00	2.32000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class F	41665X842	HFZFX				1.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class I	41665H755	SMSNX				1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class R3	41665H748	HFZRX			.50	1.79000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class R4	41665H730	HFZSX			.25	1.49000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class SDR	41665H698	SMSRX				1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class Y	41665H714	HFZYX				1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class I	41665X180	HFSIX				1.20000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class SDR	41665X214	HFSSX				1.11000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class A	41665H433	SIDVX	5.50		.25	1.11000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class C	41665H425	HFYCX		1.00	1.00	1.85000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class F	41665X792	HFYFX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class I	41665H417	SIDNX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class R3	41665H391	HFYRX			.50	1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class R4	41665H383	HFYSX			.25	1.17000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class SDR	41665H359	SIDRX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class Y	41665H367	HFYYX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class A	41665H524	SCVEX	5.50		.25	1.06000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class C	41665H516	HSWCX		1.00	1.00	1.80000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class F	41665X818	HSWFX				0.70000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class I	41665H490	SCIEX				0.79000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class R3	41665H482	HSWRX			.50	1.42000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class R4	41665H474	HSWSX			.25	1.12000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class SDR	41665H441	SCIJX				0.71000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class Y	41665H458	HSWYX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fund Class A	41665X560	HITAX	3.00		.25	0.90000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fund Class C	41665X313	HITCX		1.00	1.00	1.68000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fund Class F	41665X537	HITFX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fund Class I	41665X552	HITIX				0.64000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fund Class SDR	41665X529	HITSX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Securitized Income Fund Class Y	41665X545	HITYX				0.63000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable Core Bond Fund Class F	41665X222	HSSFX				0.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable Core Bond Fund Class I	41665X271	HSAEX				0.61000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable Core Bond Fund Class R3	41665X263	HSACX			.50	1.22000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable Core Bond Fund Class R4	41665X255	HSSBX			.25	0.92000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable Core Bond Fund Class SDR	41665X289	SCBRX				0.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable Core Bond Fund Class Y	41665X230	SCBIX				0.61000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Sustainable International Core Fund Class I	41665X172	HSISX				1.21000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders Sustainable International Core Fund Class SDR	41665X198	HSIDX				1.12000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class A	41665H607	STWVX	4.50		.25	0.82000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class C	41665H706	HFKCX		1.00	1.00	1.64000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class F	41665X867	HFKFX				0.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class I	41665H805	STWTX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class SDR	41665H870	HFKVX				0.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class Y	41665H888	HFKYX				0.62000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class A	41665H250	SMDVX	5.50		.25	1.16000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class C	41665H243	HFDCX		1.00	1.00	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class F	41665X776	HFDFX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class I	41665H235	SMDIX				0.89000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class R3	41665H227	HFDRX			.50	1.52000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class R4	41665H219	HFDSX			.25	1.22000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class SDR	41665H177	SMDRX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class Y	41665H185	HFDYX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class A	41665H342	SCUVX	5.50		.25	1.38000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class C	41665H334	HOOCX		1.00	1.00	2.12000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class F	41665X784	HOOFX				0.99000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class I	41665H326	SCUIX				1.08000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class R3	41665H318	HOORX			.50	1.70000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class R4	41665H292	HOOSX			.25	1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class SDR	41665H268	SCURX				0.99000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class Y	41665H276	HOOYX				1.09000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class A	416646198	HSDAX	2.00		.25	0.79000		BUY,SELL
Hartford Mutual Funds	Hartford Short Duration Fund Class C	416646172	HSDCX		1.00	1.00	1.52000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class F	41664T313	HSDFX				0.43000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class I	41664M813	HSDIX				0.49000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class R3	41664R879	HSDRX			.50	1.14000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class R4	41664R861	HSDSX			.25	0.84000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class Y	416648822	HSDYX				0.52000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class A	416529105	HSLAX	5.50		.25	1.19000		BUY,SELL
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class C	416529303	HSLCX		1.00	1.00	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class F	41665X594	HSLFX				0.77000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class I	416641306	HSLIX				0.84000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class R3	416641702	HSLRX			.50	1.48000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class R4	416641868	HSLSX			.25	1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class Y	416529808	HSLYX				0.87000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class A	416648640	HSMAX	5.50		.25	1.30000		BUY,SELL
Hartford Mutual Funds	Hartford Small Cap Value Fund Class C	416648624	HTSCX		1.00	1.00	2.09000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class F	41664T297	HSMFX				0.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Small Cap Value Fund Class I	41664R176	HSEIX				0.97000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class R3	41664R101	HSMRX			.50	1.56000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class R4	41664R200	HSMSX			.25	1.26000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class Y	416648616	HSMYX				0.95000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund Class C	41664T206	HMKCX		1.00	1.00	1.60000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund Class F	41664T370	HMKFX				0.49000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund Class I	41664T305	HMKIX				0.61000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class A	416648244	HBLAX	5.50		.25	0.85000		BUY,SELL
Hartford Mutual Funds	The Hartford Balanced Income Fund Class C	416648228	HBLCX		1.00	1.00	1.61000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class F	41664T727	HBLFX				0.53000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class I	41664M821	HBLIX				0.61000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class R3	41664M797	HBLRX			.50	1.23000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class R4	41664M789	HBLSX			.25	0.93000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class Y	416648210	HBLYX				0.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class A	416645406	ITHAX	5.50		.25	1.04000		BUY,SELL
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class C	416645638	HCACX		1.00	1.00	1.82000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class F	41664T719	HCAFX				0.69000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class I	416649309	ITHIX				0.77000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class R3	416649655	ITHRX			.50	1.41000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class R4	416649358	ITHSX			.25	1.10000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class Y	416645604	HCAYX				0.80000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class A	416645844	IHGIX	5.50		.25	0.97000		BUY,SELL
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class C	416645596	HDGCX		1.00	1.00	1.75000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class F	41664T669	HDGFX				0.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class I	416649606	HDGIX				0.71000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class R3	416649580	HDGRX			.50	1.35000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class R4	416649283	HDGSX			.25	1.03000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class Y	416645828	HDGYX				0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class A	416648889	HQIAX	5.50		.25	0.97000		BUY,SELL
Hartford Mutual Funds	The Hartford Equity Income Fund Class C	416648863	HQICX		1.00	1.00	1.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class F	41664T628	HQIFX				0.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class I	416649705	HQIIX				0.73000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class R3	416649663	HQIRX			.50	1.35000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class R4	416649366	HQISX			.25	1.04000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class Y	416648855	HQIYX				0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class A	416529881	HGOAX	5.50		.25	1.06000		BUY,SELL
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class C	416529865	HGOCX		1.00	1.00	1.83000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class F	41665X644	HGOFX				0.73000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class I	416641207	HGOIX				0.82000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class R3	416641603	HGORX			.50	1.45000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class R4	416641876	HGOSX			.25	1.14000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class Y	416529816	HGOYX				0.84000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class A	416645398	HGHAX	5.50		.25	1.24000		BUY,SELL
Hartford Mutual Funds	The Hartford Healthcare Fund Class C	416645372	HGHCX		1.00	1.00	2.01000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class F	41664T529	HGHFX				0.88000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class I	416649887	HGHIX				0.98000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class R3	416649671	HGHRX			.50	1.59000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class R4	416649374	HGHSX			.25	1.29000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class Y	416645364	HGHYX				0.99000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class A	416645703	IHOAX	5.50		.25	1.07000		BUY,SELL
Hartford Mutual Funds	The Hartford International Opportunities Fund Class C	416645620	HIOCX		1.00	1.00	1.84000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class F	41664T461	IHOFX				0.68000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class I	41664L294	IHOIX				0.77000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class R3	416649549	IHORX			.50	1.40000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class R4	416649242	IHOSX			.25	1.10000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class Y	416645885	HAOYX				0.79000		SELL ONLY
Hartford Mutual Funds	The Hartford International Value Fund Class Y	41664M649	HILYX				0.91000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class A	416645711	HFMCX	5.50		.25	1.07000		BUY,SELL
Hartford Mutual Funds	The Hartford MidCap Fund Class C	416645554	HMDCX		1.00	1.00	1.84000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class F	41664T420	HMDFX				0.73000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class I	41664M870	HFMIX				0.85000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford MidCap Fund Class R3	41664M862	HFMRX			.50	1.45000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class R4	41664M854	HFMSX			.25	1.15000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class Y	416645687	HMDYX				0.84000		SELL ONLY
Hartford Mutual Funds	The Hartford Real Asset Fund Class C	41664M573	HRLCX		1.00	1.00	2.38000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class A	416645109	IHSAX	5.50		.25	1.23000		BUY,SELL
Hartford Mutual Funds	The Hartford Small Company Fund Class C	416645646	HSMCX		1.00	1.00	2.05000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class F	41664T271	IHSFX				0.85000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class I	416649838	IHSIX				0.96000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class R3	416649697	IHSRX			.50	1.57000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class R4	416649390	IHSSX			.25	1.26000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class Y	416645307	HSCYX				0.91000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class A	41664L666	HSNAX	4.50		.25	0.91000		BUY,SELL
Hartford Mutual Funds	The Hartford Strategic Income Fund Class C	41664L641	HSNCX		1.00	1.00	1.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class F	41664T263	HSNFX				0.54000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class I	41664L633	HSNIX				0.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class R3	41664R408	HSNRX			.50	1.26000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class R4	41664R507	HSNSX			.25	0.96000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class Y	41664L583	HSNYX				0.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class A	416645778	ITBAX	4.50		.25	0.68000		BUY,SELL
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class C	416645570	HABCX		1.00	1.00	1.48000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class F	41664T255	ITBFX				0.32000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class I	416649820	ITBIX				0.40000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class R3	416649556	ITBRX			.50	1.04000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class R4	416649259	ITBUX			.25	0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class Y	416645752	HABYX				0.39000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class A	41664M250	HWDAX	4.50		.25	0.99000		BUY,SELL
Hartford Mutual Funds	The Hartford World Bond Fund Class C	41664M243	HWDCX		1.00	1.00	1.72000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class F	41664T222	HWDFX				0.62000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class I	41664M235	HWDIX				0.70000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class R3	41664M227	HWDRX			.50	1.33000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class R4	41664M219	HWDSX			.25	1.03000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class Y	41664M185	HWDYX				0.72000		SELL ONLY
Heartland	Heartland Mid Cap Value Fund Institutional Class	422352799	HNMDX				0.98000	2.00	SELL ONLY
Heartland	Heartland Mid Cap Value Fund Investor Class	422352815	HRMDX			.25	1.17000	2.00	SELL ONLY
Heartland	Heartland Value Fund Institutional Class	422352831	HNTVX				0.92000	2.00	SELL ONLY
Heartland	Heartland Value Fund Investor Class	422359109	HRTVX			.25	1.04000	2.00	SELL ONLY
Heartland	Heartland Value Plus Fund Institutional Class	422352849	HNVIX				0.92000	2.00	SELL ONLY
Heartland	Heartland Value Plus Fund Investor Class	422352500	HRVIX			.25	1.15000	2.00	SELL ONLY
Hennessy	Hennessy Balanced Fund Investor Class	425887106	HBFBX			.15	1.85000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hennessy	Hennessy Cornerstone Growth Fund Class Institutional	425888500	HICGX				1.01000		SELL ONLY
Hennessy	Hennessy Cornerstone Growth Fund Investor Class	425888104	HFCGX			.15	1.34000		SELL ONLY
Hennessy	Hennessy Cornerstone Large Growth Fund Institutional Class	42588P403	HILGX				1.04000		SELL ONLY
Hennessy	Hennessy Cornerstone Large Growth Fund Investor Class	42588P205	HFLGX			.15	1.29000		SELL ONLY
Hennessy	Hennessy Cornerstone Mid Cap 30 Fund Institutional Class	425888609	HIMDX				0.99000		SELL ONLY
Hennessy	Hennessy Cornerstone Mid Cap 30 Fund Investor Class	425888302	HFMDX			.15	1.36000		SELL ONLY
Hennessy	Hennessy Cornerstone Value Fund Class Institutional	425888401	HICVX				0.99000		SELL ONLY
Hennessy	Hennessy Cornerstone Value Fund Investor Class	425888203	HFCVX			.15	1.23000		SELL ONLY
Hennessy	Hennessy Energy Transition Fund Institutional Class	42588P734	HNRIX				2.61000		SELL ONLY
Hennessy	Hennessy Energy Transition Fund Investor Class	42588P742	HNRGX			.15	2.96000		SELL ONLY
Hennessy	Hennessy Equity and Income Fund Institutional Class	42588P817	HEIIX				1.19000		SELL ONLY
Hennessy	Hennessy Equity and Income Fund Investor Class	42588P825	HEIFX			.15	1.56000		SELL ONLY
Hennessy	Hennessy Focus Fund Institutional Class	42588P809	HFCIX				1.12000		SELL ONLY
Hennessy	Hennessy Focus Fund Investor Class	42588P700	HFCSX			.15	1.49000		SELL ONLY
Hennessy	Hennessy Gas Utility Fund Institutional Class	42588P759	HGASX				0.69000		SELL ONLY
Hennessy	Hennessy Gas Utility Fund Investor Class	42588P833	GASFX			.15	1.00000		SELL ONLY
Hennessy	Hennessy Japan Fund Institutional Class	425894201	HJPIX				1.04000		SELL ONLY
Hennessy	Hennessy Japan Fund Investor Class	425894102	HJPNX			.15	1.43000		SELL ONLY
Hennessy	Hennessy Japan Small Cap Fund Institutional Class	42588P767	HJSIX				1.13000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hennessy	Hennessy Japan Small Cap Fund Investor Class	425894300	HJPSX			.15	1.53000		SELL ONLY
Hennessy	Hennessy Large Cap Financial Fund Institutional Class	42588P775	HILFX				1.32000		SELL ONLY
Hennessy	Hennessy Large Cap Financial Fund Investor Class	42588P882	HLFNX			.15	1.68000		SELL ONLY
Hennessy	Hennessy Midstream Fund Institutional Class	42588P718	HMSIX				1.74000		SELL ONLY
Hennessy	Hennessy Midstream Fund Investor Class	42588P726	HMSFX			.15	2.11000		SELL ONLY
Hennessy	Hennessy Small Cap Financial Fund Institutional Class	42588P866	HISFX				1.20000		SELL ONLY
Hennessy	Hennessy Small Cap Financial Fund Investor Class	42588P874	HSFNX			.15	1.58000		SELL ONLY
Hennessy	Hennessy Technology Fund Institutional Class	42588P841	HTCIX				2.44000		SELL ONLY
Hennessy	Hennessy Technology Fund Investor Class	42588P858	HTECX			.15	2.79000		SELL ONLY
Hennessy	Hennessy Total Return Fund Investor Class	425887205	HDOGX			.15	1.35000		SELL ONLY
Highland Funds	Highland Fixed Income Fund Class B	43090E639	HFBBX		3.00	1	1.7900		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Diversified Value Fund Class A	44134R750	HWCAX	5.25		.25	1.22000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Diversified Value Fund Class C	44134R743	HWCCX		1.00	1.00	1.98000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Diversified Value Fund Class Institutional	44134R768	HWCIX				1.01000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Global Value Fund Class A	44134R677	HWGAX	5.25		.25	1.46000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Global Value Fund Class I	44134R685	HWGIX				1.22000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class A	44134R727	HWHAX	3.75		.25	0.98000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class C	44134R669	HWHCX		1.00	1.00	1.77000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class I	44134R735	HWHIX				0.77000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class Z	44134R529	HWHZX				0.65000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley International Value Fund Class I	44134R636	HWNIX				4.87000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund Class A	44134R107	HWLAX	5.25		.25	1.18000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund Class C	44134R701	HWLCX		1.00	1.00	1.91000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund Class I	44134R503	HWLIX				0.97000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fund Class Z	44134R511	HWLZX				0.86000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class A	44134R206	HWMAX	5.25		.25	1.21000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class C	44134R875	HWMCX		1.00	1.00	1.97000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class I	44134R800	HWMIX				1.01000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class Z	44134R495	HWMZX				0.87000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Value Fund Class A	44134R644	HWVAX	5.25		.25	1.15000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Value Fund Class I	44134R651	HWVIX				0.87000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Value Fund Class Z	44134R479	HWVZX				0.76000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class A	44134R305	HWSAX	5.25		.25	1.21000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class C	44134R842	HWSCX		1.00	1.00	1.94000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class I	44134R867	HWSIX				1.06000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class Z	44134R487	HWSZX				0.86000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class A	44134R792	HWAAX	5.25		.25	1.20000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class C	44134R826	HWACX		1.00	1.00	1.91000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class Institutional	44134R834	HWAIX				0.94000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class Z	44134R461	HWAZX				0.86000		SELL ONLY