

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Madison Funds | Madison Aggressive Allocation Fund Class A | 557492576 | MAGSX | 5.75 | | .25 | 1.00000 | | SELL ONLY |
| Madison Funds | Madison Aggressive Allocation Fund Class C | 557492550 | MAACX | | 1.00 | 1.00 | 1.75000 | | SELL ONLY |
| Madison Funds | Madison Conservative Allocation Fund Class A | 557492642 | MCNAX | 5.75 | | .25 | 0.99000 | | SELL ONLY |
| Madison Funds | Madison Conservative Allocation Fund Class C | 557492626 | MCOCX | | 1.00 | 1.00 | 1.74000 | | SELL ONLY |
| Madison Funds | Madison Core Bond Fund Class A | 557492303 | MBOAX | 4.50 | | .25 | 0.85000 | | SELL ONLY |
| Madison Funds | Madison Core Bond Fund Class I | 557492253 | MBOIX | | | | 0.50000 | | SELL ONLY |
| Madison Funds | Madison Core Bond Fund Class R6 | 557492196 | MBORX | | | | 0.42000 | | SELL ONLY |
| Madison Funds | Madison Core Bond Fund Class Y | 557492501 | MBOYX | | | | 0.60000 | | SELL ONLY |
| Madison Funds | Madison Covered Call & Equity Income Fund Class A | 557492857 | MENAX | 5.75 | | .25 | 1.30000 | | SELL ONLY |
| Madison Funds | Madison Covered Call & Equity Income Fund Class C | 557492840 | MENCX | | 1.00 | 1.00 | 2.05000 | | SELL ONLY |
| Madison Funds | Madison Covered Call & Equity Income Fund Class I | 557492212 | MENIX | | | | 1.00000 | | SELL ONLY |
| Madison Funds | Madison Covered Call & Equity Income Fund Class R6 | 557492824 | MENRX | | | | 0.92000 | | SELL ONLY |
| Madison Funds | Madison Covered Call & Equity Income Fund Class Y | 557492832 | MENYX | | | | 1.05000 | | SELL ONLY |
| Madison Funds | Madison Diversified Income Fund Class A | 557492600 | MBLAX | 5.75 | | .25 | 1.11000 | | SELL ONLY |
| Madison Funds | Madison Diversified Income Fund Class C | 557492808 | MBLCX | | 1.00 | 1.00 | 1.86000 | | SELL ONLY |
| Madison Funds | Madison Dividend Income Fund Class R6 | 557492188 | MADRX | | | | 0.73000 | | SELL ONLY |
| Madison Funds | Madison Dividend Income Fund Class A | 557492311 | MADAX | 5.75 | | .25 | 1.16000 | | SELL ONLY |
| Madison Funds | Madison Dividend Income Fund Class I | 557492295 | MDMIX | | | | 0.81000 | | SELL ONLY |
| Madison Funds | Madison Dividend Income Fund Class Y | 557492477 | BHBFX | | | | 0.91000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---------------|--|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Madison Funds | Madison High Quality Bond Fund Class I | 557492220 | MIIRX | | | | 0.41000 | | SELL ONLY |
| Madison Funds | Madison High Quality Bond Fund Class Y | 557492527 | MIIBX | | | | 0.50000 | | SELL ONLY |
| Madison Funds | Madison International Stock Fund Class A | 557492675 | MINAX | 5.75 | | .25 | 1.61000 | | SELL ONLY |
| Madison Funds | Madison International Stock Fund Class Y | 557492659 | MINYX | | | | 1.36000 | | SELL ONLY |
| Madison Funds | Madison Investors Fund Class A | 557492394 | MNVAX | 5.75 | | .25 | 1.16000 | | SELL ONLY |
| Madison Funds | Madison Investors Fund Class I | 557492287 | MIVIX | | | | 0.81000 | | SELL ONLY |
| Madison Funds | Madison Investors Fund Class R6 | 557492386 | MNVRX | | | | 0.73000 | | SELL ONLY |
| Madison Funds | Madison Investors Fund Class Y | 557492493 | MINVX | | | | 0.91000 | | SELL ONLY |
| Madison Funds | Madison Mid Cap Fund Class A | 557492741 | MERAX | 5.75 | | .25 | 1.39000 | | BUY,SELL |
| Madison Funds | Madison Mid Cap Fund Class I | 557492279 | MDCIX | | | | 0.84000 | | SELL ONLY |
| Madison Funds | Madison Mid Cap Fund Class R6 | 557492485 | MMCR X | | | | 0.76000 | | SELL ONLY |
| Madison Funds | Madison Mid Cap Fund Class Y | 557492725 | GTSGX | | | | 0.94000 | | SELL ONLY |
| Madison Funds | Madison Moderate Allocation Fund Class A | 557492618 | MMDAX | 5.75 | | .25 | 1.00000 | | SELL ONLY |
| Madison Funds | Madison Moderate Allocation Fund Class C | 557492584 | MMDC X | | 1.00 | 1.00 | 1.75000 | | SELL ONLY |
| Madison Funds | Madison Small Cap Fund Class A | 557492717 | MASMX | 5.75 | | .25 | 1.35000 | | SELL ONLY |
| Madison Funds | Madison Small Cap Fund Class I | 557492261 | MSCIX | | | | 1.00000 | | SELL ONLY |
| Madison Funds | Madison Small Cap Fund Class R6 | 557492170 | MSCRX | | | | 0.92000 | | SELL ONLY |
| Madison Funds | Madison Small Cap Fund Class Y | 557492683 | BVAOX | | | | 1.10000 | | SELL ONLY |
| Madison Funds | Madison Sustainable Equity Fund Class I | 557492238 | MFSIX | | | | 0.81000 | | SELL ONLY |
| Madison Funds | Madison Sustainable Equity Fund Class Y | 557492246 | MFSYX | | | | 0.91000 | | SELL ONLY |
| Madison Funds | Madison Tax-Free National Fund Class Y | 557492410 | GTFHX | | | | 0.76000 | | SELL ONLY |
| Madison Funds | Madison Tax-Free Virginia Fund Class Y | 557492428 | GTVAX | | | | 0.86000 | | SELL ONLY |
| Mairs & Power | Mairs & Power Balanced Fund | 89834G695 | MAPOX | | | | 0.71000 | | SELL ONLY |
| Mairs & Power | Mairs & Power Growth Fund | 89834G711 | MPGFX | | | | 0.64000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|------------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Mairs & Power | Mairs & Power Small Cap Fund | 89834G687 | MSCFX | | | | 0.94000 | 1.00 | SELL ONLY |
| Manning & Napier | Manning & Napier Core Bond Series Class I | 56382R720 | EXCIX | | | | 0.48000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Core Bond Series Class S | 563821404 | EXCRX | | | .25 | 0.67000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Core Bond Series Class Z | 56382R233 | MCBZX | | | | 0.38000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Disciplined Value Series Class I | 56382P658 | MNDFX | | | | 0.64000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Disciplined Value Series Class S | 56382P476 | MDFSX | | | .25 | 0.84000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Disciplined Value Series Class Z | 56382R274 | MDVZX | | | | 0.49000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Diversified Tax Exempt Series Fund Class A | 563821677 | EXDVX | | | | 0.63000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Equity Series Class S | 563821602 | EXEYX | | | | 1.37000 | | SELL ONLY |
| Manning & Napier | Manning & Napier High Yield Bond Series Class I | 56382P195 | MNHAX | | | | 0.70000 | | SELL ONLY |
| Manning & Napier | Manning & Napier High Yield Bond Series Class S | 56382P583 | MNHYX | | | .25 | 0.97000 | | SELL ONLY |
| Manning & Napier | Manning & Napier High Yield Bond Series Class Z | 56382R241 | MHYZX | | | | 0.57000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Overseas Series Class I | 563821503 | EXOSX | | | | 0.80000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Overseas Series Class S | 56382R480 | MNOSX | | | .25 | 1.14000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Overseas Series Class Z | 56382R472 | MNOZX | | | | 0.73000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Conservative Term Series Class I | 56382P690 | MNCIX | | | | 0.67000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Conservative Term Series Class L | 56382P633 | MNCCX | | | 1.00 | 1.63000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Conservative Term Series Class R | 563821628 | MNCRX | | | .50 | 1.12000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Conservative Term Series Class S | 563821651 | EXDAX | | | .25 | 0.93000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Manning & Napier | Manning & Napier Pro-Blend Extended Term Series Class I | 56382P674 | MNBIX | | | | 0.82000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Extended Term Series Class L | 56382P617 | MNECX | | | 1.00 | 1.81000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Extended Term Series Class R | 563821446 | MNBRX | | | .50 | 1.28000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Extended Term Series Class S | 563821768 | MNBAX | | | .25 | 1.04000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Maximum Term Series Class I | 56382P666 | MNHIX | | | | 0.94000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Maximum Term Series Class L | 56382P591 | MNHGX | | | 1.00 | 1.88000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Maximum Term Series Class R | 563821560 | MNHRX | | | .50 | 1.33000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Maximum Term Series Class S | 563821594 | EXHAX | | | .25 | 1.17000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Moderate Term Series Class I | 56382P682 | MNMIX | | | | 0.90000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Moderate Term Series Class L | 56382P625 | MNMCX | | | 1.00 | 1.82000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Moderate Term Series Class R | 563821487 | MNMRX | | | .50 | 1.30000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Pro-Blend Moderate Term Series Class S | 563821776 | EXBAX | | | .25 | 1.10000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Rainier International Discovery Series Class I | 56382R688 | RAIIX | | | | 1.19000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Rainier International Discovery Series Class S | 56382R670 | RISAX | | | .25 | 1.47000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Rainier International Discovery Series Class Z | 56382R662 | RAIRX | | | | 1.07000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Unconstrained Bond Series Class I | 56382P112 | MNCPX | | | | 0.49000 | | SELL ONLY |
| Manning & Napier | Manning & Napier Unconstrained Bond Series Class S | 563821206 | EXCPX | | | .25 | 0.72000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Focus Fund | 573012101 | MFOCX | | | .25 | 1.50000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Marsico Investment Fund | Marsico Focus Fund Institutional Class | 573012804 | MIFOX | | | .00 | 1.23000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Global Fund | 573012606 | MGLBX | | | .25 | 1.55000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Global Fund Institutional Class | 573012853 | MIGOX | | | .00 | 1.29000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Growth Fund | 573012200 | MGRIX | | | .25 | 1.49000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Growth Fund Institutional Class | 573012887 | MIGWX | | | .00 | 1.25000 | | SELL ONLY |
| Marsico Investment Fund | Marsico International Opportunities Fund | 573012408 | MIOFX | | | .25 | 1.86000 | | SELL ONLY |
| Marsico Investment Fund | Marsico International Opportunities Fund Institutional Class | 573012861 | MIIOX | | | .00 | 1.98000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Midcap Growth Focus Fund | 573012309 | MXIX | | | .25 | 1.46000 | | SELL ONLY |
| Marsico Investment Fund | Marsico Midcap Growth Focus Fund Institutional Class | 573012879 | MIDFX | | | .00 | 1.22000 | | SELL ONLY |
| MD Sass | Integrity Short Term Government Fund Class A | 45890C630 | MDSAX | 2.00 | | .25 | 1.34000 | | SELL ONLY |
| MD Sass | Integrity Short Term Government Fund Class I | 45890C622 | MDSIX | | | | 1.09000 | | SELL ONLY |
| Meridian | Meridian Contrarian Fund A Class | 589619865 | MFCAX | 5.75 | | .25 | 1.46000 | 2.00 | SELL ONLY |
| Meridian | Meridian Contrarian Fund Class C | 589619774 | MFCGX | | 1.00 | 1.00 | 2.23000 | | SELL ONLY |
| Meridian | Meridian Contrarian Fund Investor Class | 589619873 | MFCIX | | | .00 | 1.19000 | 2.00 | SELL ONLY |
| Meridian | Meridian Contrarian Fund Legacy Class | 589619204 | MVALX | | | | 1.15000 | 2.00 | SELL ONLY |
| Meridian | Meridian Growth Fund? A Class | 589619808 | MRAGX | 5.75 | | .25 | 1.12000 | 2.00 | SELL ONLY |
| Meridian | Meridian Growth Fund? Class C | 589619782 | MRCGX | | 1.00 | 1.00 | 1.89000 | | SELL ONLY |
| Meridian | Meridian Growth Fund? Institutional Class | 589619881 | MRRGX | | | | 0.85000 | 2.00 | SELL ONLY |
| Meridian | Meridian Growth Fund? Investor Class | 589619709 | MRIGX | | | .00 | 0.94000 | 2.00 | SELL ONLY |
| Meridian | Meridian Growth Fund? Legacy Class | 589619105 | MERDX | | | | 0.88000 | 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 |
|-------------|--|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Meridian | Meridian Hedged Equity Fund? A Class | 589619501 | MRAEX | 5.75 | | .25 | 1.65000 | 2.00 | SELL ONLY |
| Meridian | Meridian Hedged Equity Fund? Class C | 589619790 | MRCEX | | 1.00 | 1.00 | 2.28000 | | SELL ONLY |
| Meridian | Meridian Hedged Equity Fund? Investor Class | 589619402 | MRIEX | | | .00 | 1.34000 | 2.00 | SELL ONLY |
| Meridian | Meridian Hedged Equity Fund? Legacy Class | 589619303 | MEIFX | | | | 1.34000 | 2.00 | SELL ONLY |
| Meridian | Meridian Small Cap Growth Fund A Class | 589619832 | MSGAX | 5.75 | | .25 | 1.50000 | 2.00 | SELL ONLY |
| Meridian | Meridian Small Cap Growth Fund Class C | 589619766 | MSGCX | | 1.00 | 1.00 | 2.23000 | | SELL ONLY |
| Meridian | Meridian Small Cap Growth Fund Institutional Class | 589619824 | MSGRX | | | | 1.15000 | 2.00 | SELL ONLY |
| Meridian | Meridian Small Cap Growth Fund Investor Shares | 589619840 | MISGX | | | .00 | 1.24000 | 2.00 | SELL ONLY |
| Meridian | Meridian Small Cap Growth Fund Legacy Class | 589619816 | MSGGX | | | | 1.21000 | 2.00 | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class A | 55273G686 | MAAGX | 5.75 | | .25 | 1.01000 | | BUY,SELL |
| MFS | MFS Aggressive Growth Allocation Fund Class B | 55273G678 | MBAGX | | 4.00 | 1.00 | 1.76000 | | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class C | 55273G660 | MCAGX | | 1.00 | 1.00 | 1.76000 | | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class I | 55273G652 | MIAGX | | | | 0.76000 | | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class R1 | 55273G132 | MAAFX | | | 1.00 | 1.76000 | | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class R2 | 55273G371 | MAWA X | | | .50 | 1.26000 | | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class R3 | 55273G124 | MAAHX | | | .25 | 1.01000 | | SELL ONLY |
| MFS | MFS Aggressive Growth Allocation Fund Class R6 | 552743437 | AGGPX | | | | 0.68000 | | SELL ONLY |
| MFS | MFS Alabama Municipal Bond Fund Class B | 55273N780 | MBABX | | 4.00 | 1.00 | 1.84000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Alabama Municipal Bond Fund Class I | 55273N392 | MLALX | | | | 0.84000 | | SELL ONLY |
| MFS | MFS Alabama Municipal Bond Fund Class R6 | 55273N269 | MPOLX | | | | 0.77000 | | SELL ONLY |
| MFS | MFS Arkansas Municipal Bond Fund Class B | 55273N772 | MBARX | | 4.00 | 1.00 | 1.69000 | | SELL ONLY |
| MFS | MFS Arkansas Municipal Bond Fund Class I | 55273N426 | MARLX | | | | 0.69000 | | SELL ONLY |
| MFS | MFS Arkansas Municipal Bond Fund Class R6 | 55273N251 | MPRAX | | | | 0.62000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class A | 55273W400 | MUEAX | 5.75 | | .25 | 0.81000 | | BUY,SELL |
| MFS | MFS Blended Research Core Equity Fund Class B | 55273W509 | MUSBX | | 4.00 | 1.00 | 1.56000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class C | 55273W608 | MUECX | | 1.00 | 1.00 | 1.56000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class I | 55273W103 | MUSEX | | | | 0.56000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class R1 | 55273W541 | MUERX | | | 1.00 | 1.56000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class R2 | 55273W533 | MUESX | | | .50 | 1.06000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class R3 | 55273W525 | MUETX | | | .25 | 0.81000 | | SELL ONLY |
| MFS | MFS Blended Research Core Equity Fund Class R6 | 55273W483 | MUEVX | | | | 0.46000 | | SELL ONLY |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class A | 552987331 | BRKAX | 5.75 | | .25 | 2.45000 | | BUY,SELL |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class B | 552987323 | BRKBX | | 4.00 | 1.00 | 3.20000 | | SELL ONLY |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class C | 552987315 | BRKCX | | 1.00 | 1.00 | 3.20000 | | SELL ONLY |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class I | 552987299 | BRKIX | | | | 2.20000 | | SELL ONLY |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class R1 | 552987281 | BRKRX | | | 1.00 | 3.20000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Blended Research Emerging Markets Equity Fund Class R2 | 552987273 | BRKSX | | | .50 | 2.70000 | | SELL ONLY |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class R3 | 552987265 | BRKTX | | | .25 | 2.45000 | | SELL ONLY |
| MFS | MFS Blended Research Emerging Markets Equity Fund Class R6 | 552987240 | BRKVX | | | | 2.08000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class A | 552743874 | BRWAX | 5.75 | | .25 | 0.85000 | | BUY,SELL |
| MFS | MFS Blended Research Growth Equity Fund Class B | 552743866 | BRWBX | | 4.00 | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class C | 552743858 | BRWCX | | 1.00 | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class I | 552743841 | BRWJX | | | | 0.60000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class R1 | 552743833 | BRWRX | | | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class R2 | 552743825 | BRWSX | | | .50 | 1.10000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class R3 | 552743817 | BRWTX | | | .25 | 0.85000 | | SELL ONLY |
| MFS | MFS Blended Research Growth Equity Fund Class R6 | 552743783 | BRWVX | | | | 0.53000 | | SELL ONLY |
| MFS | MFS Blended Research International Equity Fund Class A | 552987539 | BRXAX | 5.75 | | .25 | 0.96000 | | BUY,SELL |
| MFS | MFS Blended Research International Equity Fund Class B | 552987521 | BRXBX | | 4.00 | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Blended Research International Equity Fund Class C | 552987513 | BRXCX | | 1.00 | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Blended Research International Equity Fund Class I | 552987497 | BRXIX | | | | 0.71000 | | SELL ONLY |
| MFS | MFS Blended Research International Equity Fund Class R1 | 552987489 | BRXRX | | | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Blended Research International Equity Fund Class R2 | 552987471 | BRXSX | | | .50 | 1.21000 | | SELL ONLY |
| MFS | MFS Blended Research International Equity Fund Class R3 | 552987463 | BRXTX | | | .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 |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Blended Research International Equity Fund Class R6 | 552987448 | BRXVX | | | | 0.62000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund A | 552743643 | BMSFX | 5.75 | | .25 | 0.93000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund B | 552743635 | BMSBX | | 4.00 | 1.00 | 1.68000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund C | 552743627 | BMSDX | | 1.00 | 1.00 | 1.68000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund I | 552743619 | BMSLX | | | | 0.68000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund R1 | 552743593 | BMSRX | | | 1.00 | 1.68000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund R2 | 552743585 | BMSSX | | | .50 | 1.18000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund R3 | 552743577 | BMSTX | | | .25 | 0.93000 | | SELL ONLY |
| MFS | MFS Blended Research Mid Cap Equity Fund R6 | 552743551 | BMSYX | | | | 0.58000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class A | 552743775 | BRSDX | 5.75 | | .25 | 1.13000 | | BUY,SELL |
| MFS | MFS Blended Research Small Cap Equity Fund Class B | 552743767 | BRSBX | | 4.00 | 1.00 | 1.88000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class C | 552743759 | BRSHX | | 1.00 | 1.00 | 1.88000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class I | 552743742 | BRSJX | | | | 0.88000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class R1 | 552743734 | BRSPX | | | 1.00 | 1.88000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class R2 | 552743726 | BRSSX | | | .50 | 1.38000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class R3 | 552743718 | BRSTX | | | .25 | 1.13000 | | SELL ONLY |
| MFS | MFS Blended Research Small Cap Equity Fund Class R6 | 552743684 | BRSYX | | | | 0.78000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class A | 552746224 | BRUDX | 5.75 | | .25 | 0.85000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Blended Research Value Equity Fund Class B | 552746216 | BRUEX | | 4.00 | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class C | 552746190 | BRUGX | | | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class I | 552746182 | BRUHX | | | | 0.60000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class R1 | 552746174 | BRUJX | | | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class R2 | 552746166 | BRUKX | | | .50 | 1.10000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class R3 | 552746158 | BRULX | | | .25 | 0.85000 | | SELL ONLY |
| MFS | MFS Blended Research Value Equity Fund Class R6 | 552746133 | BRUNX | | | | 0.53000 | | SELL ONLY |
| MFS | MFS California Municipal Bond Fund Class B | 55273N582 | MBCAX | | 4.00 | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS California Municipal Bond Fund Class C | 55273N558 | MCCAX | | | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS California Municipal Bond Fund Class I | 55273N418 | MCAVX | | | | 0.61000 | | SELL ONLY |
| MFS | MFS California Municipal Bond Fund Class R6 | 55273N244 | MPOAX | | | | 0.54000 | | SELL ONLY |
| MFS | MFS Commodity Strategy Fund Class A | 55276T859 | MCSAX | 5.75 | | .25 | 1.15000 | | BUY,SELL |
| MFS | MFS Commodity Strategy Fund Class B | 55276T818 | MCSFX | | 4.00 | 1.00 | 1.90000 | | SELL ONLY |
| MFS | MFS Commodity Strategy Fund Class C | 55276T792 | MCSHX | | | 1.00 | 1.90000 | | SELL ONLY |
| MFS | MFS Commodity Strategy Fund Class I | 55276T842 | MCSIX | | | | 0.90000 | | SELL ONLY |
| MFS | MFS Commodity Strategy Fund Class R1 | 55276T784 | MCSNX | | | 1.00 | 1.90000 | | SELL ONLY |
| MFS | MFS Commodity Strategy Fund Class R2 | 55276T776 | MCSOX | | | .50 | 1.40000 | | SELL ONLY |
| MFS | MFS Commodity Strategy Fund Class R3 | 55276T768 | MCSQX | | | .25 | 1.15000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Commodity Strategy Fund Class R6 | 55276T826 | MCSRX | | | | 0.83000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class A | 55273G827 | MACFX | 5.75 | | .25 | 0.83000 | | BUY,SELL |
| MFS | MFS Conservative Allocation Fund Class B | 55273G819 | MACBX | | 4.00 | 1.00 | 1.58000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class C | 55273G793 | MACVX | | 1.00 | 1.00 | 1.58000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class I | 55273G785 | MACIX | | | | 0.58000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class R1 | 552746406 | MACKX | | | 1.00 | 1.58000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class R2 | 55273G355 | MCARX | | | .50 | 1.08000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class R3 | 552746505 | MACNX | | | .25 | 0.83000 | | SELL ONLY |
| MFS | MFS Conservative Allocation Fund Class R6 | 552743429 | MACQX | | | | 0.52000 | | SELL ONLY |
| MFS | MFS Core Bond Fund A | 55279J346 | MCBEX | 4.25 | | .25 | 1.28000 | | SELL ONLY |
| MFS | MFS Core Bond Fund C | 55279J338 | MCBCX | | 1.00 | 1.00 | 2.03000 | | SELL ONLY |
| MFS | MFS Core Bond Fund I | 55279J320 | MCBFX | | | | 1.03000 | | SELL ONLY |
| MFS | MFS Core Bond Fund R1 | 55279J312 | MCBGX | | | 1.00 | 2.03000 | | SELL ONLY |
| MFS | MFS Core Bond Fund R2 | 55279J296 | MCBHX | | | .50 | 1.53000 | | SELL ONLY |
| MFS | MFS Core Bond Fund R3 | 55279J288 | MCBJX | | | .25 | 1.28000 | | SELL ONLY |
| MFS | MFS Core Bond Fund R6 | 55279J254 | MCBMX | | | | 1.00000 | | SELL ONLY |
| MFS | MFS Core Equity Fund Class A | 552983884 | MRGAX | 5.75 | | .25 | 0.92000 | | BUY,SELL |
| MFS | MFS Core Equity Fund Class B | 552983827 | MRGBX | | 4.00 | 1.00 | 1.67000 | | SELL ONLY |
| MFS | MFS Core Equity Fund Class C | 552983819 | MRGCX | | 1.00 | 1.00 | 1.67000 | | SELL ONLY |
| MFS | MFS Core Equity Fund Class I | 552983686 | MRGRX | | | | 0.67000 | | SELL ONLY |
| MFS | MFS Core Equity Fund Class R1 | 55273H726 | MRGGX | | | 1.00 | 1.67000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Core Equity Fund Class R2 | 552983165 | MRERX | | | .50 | 1.17000 | | SELL ONLY |
| MFS | MFS Core Equity Fund Class R3 | 55273H718 | MRGHX | | | .25 | 0.92000 | | SELL ONLY |
| MFS | MFS Core Equity Fund Class R6 | 55273H320 | MRGKX | | | | 0.58000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class A | 55272P208 | MFBFX | 4.25 | | .25 | 0.78000 | | BUY,SELL |
| MFS | MFS Corporate Bond Fund Class B | 55272P307 | MFBBX | | 4.00 | 1.00 | 1.53000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class C | 55272P703 | MFBCX | | 1.00 | 1.00 | 1.53000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class I | 55272P877 | MBDIX | | | | 0.53000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class R1 | 55272P166 | MFBGX | | | 1.00 | 1.53000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class R2 | 55272P356 | MBRRX | | | .50 | 1.03000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class R3 | 55272P158 | MFBHX | | | .25 | 0.78000 | | SELL ONLY |
| MFS | MFS Corporate Bond Fund Class R6 | 55274K702 | MFBKX | | | | 0.43000 | | SELL ONLY |
| MFS | MFS Diversified Income Fund Class A | 552982837 | DIFAX | 4.25 | | .25 | 0.95000 | | BUY,SELL |
| MFS | MFS Diversified Income Fund Class C | 552982829 | DIFCX | | 1.00 | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS Diversified Income Fund Class I | 552982811 | DIFIX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS Diversified Income Fund Class R1 | 552982795 | DIFDX | | | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS Diversified Income Fund Class R2 | 552982787 | DIFEX | | | .50 | 1.20000 | | SELL ONLY |
| MFS | MFS Diversified Income Fund Class R3 | 552982779 | DIFFX | | | .25 | 0.95000 | | SELL ONLY |
| MFS | MFS Diversified Income Fund Class R6 | 552982738 | DIFHX | | | | 0.61000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class A | 55273E673 | MEDAX | 4.25 | | .25 | 1.07000 | | BUY,SELL |
| MFS | MFS Emerging Markets Debt Fund Class B | 55273E665 | MEDBX | | 4.00 | 1.00 | 1.82000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class C | 55273E657 | MEDCX | | 1.00 | 1.00 | 1.82000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class I | 55273E640 | MEDIX | | | | 0.82000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class R1 | 552743403 | MEDDX | | | 1.00 | 1.82000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class R2 | 552743502 | MEDEX | | | .50 | 1.32000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class R3 | 552743601 | MEDFX | | | .25 | 1.07000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Fund Class R6 | 552746364 | MEDHX | | | | 0.71000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Emerging Markets Debt Local Currency Fund Class A | 552746455 | EMLAX | 4.25 | | .25 | 1.25000 | | BUY,SELL |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class B | 552746448 | EMLBX | | 4.00 | 1.00 | 2.00000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class C | 552746430 | EMLCX | | 1.00 | 1.00 | 2.00000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class I | 552746422 | EMLIX | | | | 1.00000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class R1 | 552746414 | EMLJX | | | 1.00 | 2.00000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class R2 | 552746398 | EMLKX | | | .50 | 1.50000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class R3 | 552746380 | EMLLX | | | .25 | 1.25000 | | SELL ONLY |
| MFS | MFS Emerging Markets Debt Local Currency Fund Class R6 | 552746323 | EMLNX | | | | 0.90000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class A | 55273E509 | MEMAX | 5.75 | | .25 | 1.36000 | | BUY,SELL |
| MFS | MFS Emerging Markets Equity Fund Class B | 55273E608 | MEMBX | | 4.00 | 1.00 | 2.11000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class C | 55273E889 | MEMCX | | 1.00 | 1.00 | 2.11000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class I | 55273E855 | MEMIX | | | | 1.11000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class R1 | 552746760 | MEMRX | | | 1.00 | 2.11000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class R2 | 552746752 | MEMFX | | | .50 | 1.61000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class R3 | 552746745 | MEMGX | | | .25 | 1.36000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Fund Class R6 | 552746331 | MEMJX | | | | 0.95000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Research Fund A | 552988537 | EEMPX | 5.75 | | .25 | 11.57000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Research Fund C | 552988529 | EEMRX | | 1.00 | 1.00 | 12.32000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Emerging Markets Equity Research Fund I | 552988511 | EEMIX | | | | 11.32000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Research Fund R1 | 552988495 | EEMDX | | | 1.00 | 12.32000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Research Fund R2 | 552988487 | EEMEX | | | .50 | 11.82000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Research Fund R3 | 552988479 | EEMFX | | | .25 | 11.57000 | | SELL ONLY |
| MFS | MFS Emerging Markets Equity Research Fund R6 | 552988453 | EEMHX | | | | 11.31000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class A | 552988636 | EQNAX | 5.75 | | .25 | 0.96000 | | BUY,SELL |
| MFS | MFS Equity Income Fund Class B | 552988628 | EQNBX | | 4.00 | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class C | 552988610 | EQNCX | | 1.00 | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class I | 552988594 | EQNIX | | | | 0.71000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class R1 | 552988586 | EQNRX | | | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class R2 | 552988578 | EQNSX | | | .50 | 1.21000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class R3 | 552988560 | EQNTX | | | .25 | 0.96000 | | SELL ONLY |
| MFS | MFS Equity Income Fund Class R6 | 552988545 | EQNVX | | | | 0.63000 | | SELL ONLY |
| MFS | MFS Georgia Municipal Bond Fund Class B | 55273N756 | MBGAX | | 4.00 | 1.00 | 1.73000 | | SELL ONLY |
| MFS | MFS Georgia Municipal Bond Fund Class I | 55273N384 | MGATX | | | | 0.73000 | | SELL ONLY |
| MFS | MFS Georgia Municipal Bond Fund Class R6 | 55273N236 | MPGOX | | | | 0.68000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class A | 55276T107 | DVRAX | 5.75 | | .25 | 1.57000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class B | 55276T206 | DVRBX | | 4.00 | 1.00 | 2.32000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class C | 55276T305 | DVRCX | | 1.00 | 1.00 | 2.32000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class I | 55276T404 | DVRIX | | | | 1.32000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class R1 | 55276T701 | DVRFX | | | 1.00 | 2.32000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class R2 | 55276T883 | DVRHX | | | .50 | 1.82000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Global Alternative Strategy Fund Class R3 | 55276T875 | DVRJX | | | .25 | 1.57000 | | SELL ONLY |
| MFS | MFS Global Alternative Strategy Fund Class R6 | 55276T834 | DVRLX | | | | 1.23000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class A | 552986507 | MWEF X | 5.75 | | .25 | 1.21000 | | BUY,SELL |
| MFS | MFS Global Equity Fund Class B | 552986606 | MWEB X | | 4.00 | 1.00 | 1.96000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class C | 552986887 | MWEC X | | 1.00 | 1.00 | 1.96000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class I | 552986861 | MWEIX | | | | 0.96000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class R1 | 552986762 | MWEG X | | | 1.00 | 1.96000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class R2 | 552986796 | MEQRX | | | .50 | 1.46000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class R3 | 552986754 | MWEH X | | | .25 | 1.21000 | | SELL ONLY |
| MFS | MFS Global Equity Fund Class R6 | 552986622 | MWEM X | | | | 0.87000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class A | 552989303 | MWOF X | 5.75 | | .25 | 1.33000 | | BUY,SELL |
| MFS | MFS Global Growth Fund Class B | 552989402 | MWOB X | | 4.00 | 1.00 | 2.08000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class C | 552989501 | MWOC X | | 1.00 | 1.00 | 2.08000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class I | 552989808 | MWOIX | | | | 1.08000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class R1 | 552989832 | MWOG X | | | 1.00 | 2.08000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class R2 | 552989840 | MGWR X | | | .50 | 1.58000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class R3 | 552989824 | MWOH X | | | .25 | 1.33000 | | SELL ONLY |
| MFS | MFS Global Growth Fund Class R6 | 552989782 | MWOK X | | | | 1.00000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class A | 552984700 | MHOAX | 4.25 | | .25 | 1.26000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Global High Yield Fund Class B | 552984809 | MHOBX | | 4.00 | 1.00 | 2.01000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class C | 552984882 | MHOCX | | 1.00 | 1.00 | 2.01000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class I | 552984874 | MHOIX | | | | 1.01000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class R1 | 552984759 | MHORX | | | 1.00 | 2.01000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class R2 | 552984742 | MHOSX | | | .50 | 1.51000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class R3 | 552984734 | MHOTX | | | .25 | 1.26000 | | SELL ONLY |
| MFS | MFS Global High Yield Fund Class R6 | 552984676 | MHOVX | | | | 0.91000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class A | 552987646 | GLNAX | 5.75 | | .25 | 1.78000 | | BUY,SELL |
| MFS | MFS Global New Discovery Fund Class B | 552987638 | GLNBX | | 4.00 | 1.00 | 2.53000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class C | 552987620 | GLNCX | | 1.00 | 1.00 | 2.53000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class I | 552987612 | GLNIX | | | | 1.53000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class R1 | 552987596 | GLNJX | | | 1.00 | 2.53000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class R2 | 552987588 | GLNKX | | | .50 | 2.03000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class R3 | 552987570 | GLNLX | | | .25 | 1.78000 | | SELL ONLY |
| MFS | MFS Global New Discovery Fund Class R6 | 552987547 | GLNNX | | | | 1.44000 | | SELL ONLY |
| MFS | MFS Global Opportunistic Bond Fund Class A | 552746638 | MGBAX | 4.25 | | .25 | 0.96000 | | BUY,SELL |
| MFS | MFS Global Opportunistic Bond Fund Class B | 552746620 | MGBBX | | 4.00 | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Global Opportunistic Bond Fund Class C | 552746612 | MGBDX | | 1.00 | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Global Opportunistic Bond Fund Class I | 552746596 | MGBJX | | | | 0.71000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Global Opportunistic Bond Fund Class R1 | 552746588 | MGBKX | | | 1.00 | 1.71000 | | SELL ONLY |
| MFS | MFS Global Opportunistic Bond Fund Class R2 | 552746570 | MGBLX | | | .50 | 1.21000 | | SELL ONLY |
| MFS | MFS Global Opportunistic Bond Fund Class R3 | 552746562 | MGBM X | | | .25 | 0.96000 | | SELL ONLY |
| MFS | MFS Global Opportunistic Bond Fund Class R6 | 552743882 | MGBOX | | | | 0.62000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class A | 552982753 | MGLAX | 5.75 | | .25 | 1.20000 | | BUY,SELL |
| MFS | MFS Global Real Estate Fund Class B | 552982688 | MGLDX | | 4.00 | 1.00 | 1.95000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class C | 552982670 | MGLCX | | 1.00 | 1.00 | 1.95000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class I | 552982746 | MGLIX | | | | 0.95000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class R1 | 552982662 | MGLJX | | | 1.00 | 1.95000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class R2 | 552982654 | MGLKX | | | .50 | 1.45000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class R3 | 552982647 | MGLLX | | | .25 | 1.20000 | | SELL ONLY |
| MFS | MFS Global Real Estate Fund Class R6 | 552982720 | MGLRX | | | | 0.86000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class A | 552986101 | MFWTX | 5.75 | | .25 | 1.21000 | | BUY,SELL |
| MFS | MFS Global Total Return Fund Class B | 552986200 | MFWB X | | 4.00 | 1.00 | 1.96000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class C | 552986804 | MFWC X | | 1.00 | 1.00 | 1.96000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class I | 552986853 | MFWIX | | | | 0.96000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class R1 | 552986739 | MFWG X | | | 1.00 | 1.96000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class R2 | 552986788 | MGBRX | | | .50 | 1.46000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class R3 | 552986721 | MFWH X | | | .25 | 1.21000 | | SELL ONLY |
| MFS | MFS Global Total Return Fund Class R6 | 552986614 | MFWLX | | | | 0.87000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class A | 552982100 | MFGSX | 4.25 | | .25 | 0.77000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Government Securities Fund Class B | 552982209 | MFGBX | | 4.00 | 1.00 | 1.52000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class C | 552982308 | MFGDX | | | 1.00 | 1.52000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class I | 552982407 | MGSIX | | | | 0.52000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class R1 | 552982878 | MFGGX | | | 1.00 | 1.52000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class R2 | 552982886 | MGVSX | | | .50 | 1.02000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class R3 | 552982860 | MFGHX | | | .25 | 0.77000 | | SELL ONLY |
| MFS | MFS Government Securities Fund Class R6 | 552982712 | MFGKX | | | | 0.42000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class A | 55273G736 | MAGW X | 5.75 | | .25 | 0.97000 | | BUY,SELL |
| MFS | MFS Growth Allocation Fund Class B | 55273G728 | MBGW X | | 4.00 | 1.00 | 1.72000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class C | 55273G710 | MCGW X | | 1.00 | 1.00 | 1.72000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class I | 55273G694 | MGWIX | | | | 0.72000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class R1 | 552746109 | MAGM X | | | 1.00 | 1.72000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class R2 | 55273G363 | MGALX | | | .50 | 1.22000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class R3 | 552746208 | MAGEX | | | .25 | 0.97000 | | SELL ONLY |
| MFS | MFS Growth Allocation Fund Class R6 | 552743411 | MAGQX | | | | 0.64000 | | SELL ONLY |
| MFS | MFS Growth Fund Class A | 552985103 | MFEGX | 5.75 | | .25 | 0.86000 | | BUY,SELL |
| MFS | MFS Growth Fund Class B | 552985202 | MEGBX | | 4.00 | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS Growth Fund Class C | 552985889 | MFECX | | 1.00 | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS Growth Fund Class I | 552985863 | MFEIX | | | | 0.61000 | | SELL ONLY |
| MFS | MFS Growth Fund Class R1 | 552985731 | MFELX | | | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS Growth Fund Class R2 | 552985749 | MEGRX | | | .50 | 1.11000 | | SELL ONLY |
| MFS | MFS Growth Fund Class R3 | 552985723 | MFEHX | | | .25 | 0.86000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Growth Fund Class R6 | 552985673 | MFEKX | | | | 0.52000 | | SELL ONLY |
| MFS | MFS High Income Fund Class A | 552984106 | MHITX | 4.25 | | .25 | 0.88000 | | BUY,SELL |
| MFS | MFS High Income Fund Class B | 552984205 | MHIBX | | 4.00 | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS High Income Fund Class C | 552984502 | MHICX | | 1.00 | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS High Income Fund Class I | 552984601 | MHIIIX | | | | 0.63000 | | SELL ONLY |
| MFS | MFS High Income Fund Class R1 | 552984791 | MHIGX | | | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS High Income Fund Class R2 | 552984817 | MIHRX | | | .50 | 1.13000 | | SELL ONLY |
| MFS | MFS High Income Fund Class R3 | 552984783 | MHIHX | | | .25 | 0.88000 | | SELL ONLY |
| MFS | MFS High Income Fund Class R6 | 552984684 | MHIKX | | | | 0.52000 | | SELL ONLY |
| MFS | MFS Income Fund Class A | 552989105 | MFIOX | 4.25 | | .25 | 0.90000 | | BUY,SELL |
| MFS | MFS Income Fund Class B | 552989204 | MIOBX | | 4.00 | 1.00 | 1.65000 | | SELL ONLY |
| MFS | MFS Income Fund Class C | 552989600 | MIOCX | | 1.00 | 1.00 | 1.65000 | | SELL ONLY |
| MFS | MFS Income Fund Class I | 552989709 | MFIIIX | | | | 0.65000 | | SELL ONLY |
| MFS | MFS Income Fund Class R6 | 552989774 | MFIWX | | | | 0.56000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class A | 55272P414 | MIAAX | 4.25 | | .25 | 0.82000 | | BUY,SELL |
| MFS | MFS Inflation-Adjusted Bond Fund Class B | 55272P349 | MIABX | | 4.00 | 1.00 | 1.57000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class C | 55272P331 | MIACX | | 1.00 | 1.00 | 1.57000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class I | 55272P398 | MIAIX | | | | 0.57000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class R1 | 55272P190 | MIALX | | | 1.00 | 1.57000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class R2 | 55272P315 | MIATX | | | .50 | 1.07000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class R3 | 55272P182 | MIAHX | | | .25 | 0.82000 | | SELL ONLY |
| MFS | MFS Inflation-Adjusted Bond Fund Class R6 | 55274K884 | MIAKX | | | | 0.49000 | | SELL ONLY |
| MFS | MFS International Diversification Fund Class A | 55273G330 | MDIDX | 5.75 | | .25 | 1.09000 | | BUY,SELL |
| MFS | MFS International Diversification Fund Class B | 55273G322 | MDIFX | | 4.00 | 1.00 | 1.84000 | | SELL ONLY |
| MFS | MFS International Diversification Fund Class C | 55273G314 | MDIGX | | 1.00 | 1.00 | 1.84000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS International Diversification Fund Class I | 55273G298 | MDIJX | | | | 0.84000 | | SELL ONLY |
| MFS | MFS International Diversification Fund Class R1 | 55273G165 | MDIOX | | | 1.00 | 1.84000 | | SELL ONLY |
| MFS | MFS International Diversification Fund Class R2 | 55273G272 | MDIKX | | | .50 | 1.34000 | | SELL ONLY |
| MFS | MFS International Diversification Fund Class R3 | 55273G157 | MDIHX | | | .25 | 1.09000 | | SELL ONLY |
| MFS | MFS International Diversification Fund Class R6 | 552743544 | MDIZX | | | | 0.74000 | | SELL ONLY |
| MFS | MFS International Equity Fund Class A | 55293K105 | MIEJX | 5.75 | | .25 | 1.02000 | | BUY,SELL |
| MFS | MFS International Equity Fund Class I | 55293K204 | MIEKX | | | | 0.77000 | | SELL ONLY |
| MFS | MFS International Equity Fund Class R6 | 552966806 | MIEIX | | | | 0.69000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class A | 55273E103 | MGRAX | 5.75 | | .25 | 1.10000 | | BUY,SELL |
| MFS | MFS International Growth Fund Class B | 55273E202 | MGRBX | | 4.00 | 1.00 | 1.85000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class C | 55273E863 | MGRCX | | 1.00 | 1.00 | 1.85000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class I | 55273E848 | MQGIX | | | | 0.85000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class R1 | 552746729 | MGRRX | | | 1.00 | 1.85000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class R2 | 552746711 | MGRQX | | | .50 | 1.35000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class R3 | 552746695 | MGRTX | | | .25 | 1.10000 | | SELL ONLY |
| MFS | MFS International Growth Fund Class R6 | 552746356 | MGRDX | | | | 0.73000 | | SELL ONLY |
| MFS | MFS International Intrinsic Value Fund Class A | 55273E301 | MGIAX | 5.75 | | .25 | 1.06000 | | BUY,SELL |
| MFS | MFS International Intrinsic Value Fund Class B | 55273E400 | MGIBX | | 4.00 | 1.00 | 1.81000 | | SELL ONLY |
| MFS | MFS International Intrinsic Value Fund Class C | 55273E871 | MGICX | | 1.00 | 1.00 | 1.81000 | | SELL ONLY |
| MFS | MFS International Intrinsic Value Fund Class I | 55273E822 | MINIX | | | | 0.81000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS International Intrinsic Value Fund Class R1 | 552746679 | MINRX | | | 1.00 | 1.81000 | | SELL ONLY |
| MFS | MFS International Intrinsic Value Fund Class R2 | 552746661 | MINFX | | | .50 | 1.31000 | | SELL ONLY |
| MFS | MFS International Intrinsic Value Fund Class R3 | 552746653 | MINGX | | | .25 | 1.06000 | | SELL ONLY |
| MFS | MFS International Intrinsic Value Fund Class R6 | 552746349 | MINJX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS International Large Cap Value Fund Class A | 552743528 | MKVBX | 5.75 | 1.00 | .25 | 1.05000 | | BUY,SELL |
| MFS | MFS International Large Cap Value Fund Class C | 552743510 | MKVCX | | 1.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS International Large Cap Value Fund Class I | 552743494 | MKVIX | | | | 0.80000 | | SELL ONLY |
| MFS | MFS International Large Cap Value Fund Class R1 | 552743486 | MKVDX | | | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS International Large Cap Value Fund Class R2 | 552743478 | MKVEX | | | .50 | 1.30000 | | SELL ONLY |
| MFS | MFS International Large Cap Value Fund Class R3 | 552743460 | MKVFX | | | .25 | 1.05000 | | SELL ONLY |
| MFS | MFS International Large Cap Value Fund Class R6 | 552743445 | MKVHX | | | | 0.75000 | | SELL ONLY |
| MFS | MFS International New Discovery Fund Class A | 552981888 | MIDAX | 5.75 | | .25 | 1.32000 | | BUY,SELL |
| MFS | MFS International New Discovery Fund Class B | 552981870 | MIDBX | | 4.00 | 1.00 | 2.07000 | | SELL ONLY |
| MFS | MFS International New Discovery Fund Class C | 552981862 | MIDCX | | 1.00 | 1.00 | 2.07000 | | SELL ONLY |
| MFS | MFS International New Discovery Fund Class I | 552981854 | MWNIX | | | | 1.07000 | | SELL ONLY |
| MFS | MFS International New Discovery Fund Class R1 | 552981516 | MIDGX | | | 1.00 | 2.07000 | | SELL ONLY |
| MFS | MFS International New Discovery Fund Class R2 | 552981565 | MIDRX | | | .50 | 1.57000 | | SELL ONLY |
| MFS | MFS International New Discovery Fund Class R3 | 552981490 | MIDHX | | | .25 | 1.32000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS International New Discovery Fund Class R6 | 552981383 | MIDLX | | | | 0.93000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund A | 552988446 | UIVVX | 5.75 | | .25 | 8.15000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund C | 552988438 | UIVCX | | 1.00 | 1.00 | 8.90000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund I | 552988420 | UIVIX | | | | 7.90000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund R1 | 552988412 | UIVMX | | | 1.00 | 8.90000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund R2 | 552988396 | UIVNX | | | .50 | 8.40000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund R3 | 552988388 | UIVPX | | | .25 | 8.15000 | | SELL ONLY |
| MFS | MFS Intrinsic Value Fund R6 | 552988362 | UIVRX | | | | 7.88000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class A | 55279J882 | LTTAX | 5.75 | | .25 | 0.94000 | | BUY,SELL |
| MFS | MFS Lifetime 2025 Fund Class B | 55279J874 | LTTBX | | 4.00 | 1.00 | 1.69000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class C | 55279J866 | LTTCX | | 1.00 | 1.00 | 1.69000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class I | 55279J858 | LTTIX | | | | 0.69000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class R1 | 55279J841 | LTTRX | | | 1.00 | 1.69000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class R2 | 55279J833 | LTTSX | | | .50 | 1.19000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class R3 | 55279J825 | LTTTX | | | .25 | 0.94000 | | SELL ONLY |
| MFS | MFS Lifetime 2025 Fund Class R6 | 55275E259 | LTTKX | | | | 0.55000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class A | 55275E671 | MLTAX | 5.75 | | .25 | 0.95000 | | BUY,SELL |
| MFS | MFS Lifetime 2030 Fund Class B | 55275E663 | MLTBX | | 4.00 | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class C | 55275E655 | MLTCX | | 1.00 | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class I | 55275E648 | MLTIX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class R1 | 55275E630 | MLTEX | | | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class R2 | 55275E614 | MLTGX | | | .50 | 1.20000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class R3 | 55275E598 | MLTHX | | | .25 | 0.95000 | | SELL ONLY |
| MFS | MFS Lifetime 2030 Fund Class R6 | 55275E242 | MLTKX | | | | 0.56000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class A | 55279J791 | LFEAX | 5.75 | | .25 | 1.00000 | | BUY,SELL |
| MFS | MFS Lifetime 2035 Fund Class B | 55279J783 | LFEBX | | 4.00 | 1.00 | 1.75000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class C | 55279J775 | LFECX | | 1.00 | 1.00 | 1.75000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class I | 55279J767 | LFEDX | | | | 0.75000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class R1 | 55279J759 | LFERX | | | 1.00 | 1.75000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class R2 | 55279J742 | LFESX | | | .50 | 1.25000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class R3 | 55279J734 | LFETX | | | .25 | 1.00000 | | SELL ONLY |
| MFS | MFS Lifetime 2035 Fund Class R6 | 55275E234 | LFEKX | | | | 0.61000 | | SELL ONLY |
| MFS | MFS Lifetime 2040 Fund Class A | 55275E572 | MLFAX | 5.75 | | .25 | 1.01000 | | BUY,SELL |
| MFS | MFS Lifetime 2040 Fund Class B | 55275E564 | MLFBX | | 4.00 | 1.00 | 1.76000 | | SELL ONLY |
| MFS | MFS Lifetime 2040 Fund Class C | 55275E556 | MLFCX | | 1.00 | 1.00 | 1.76000 | | SELL ONLY |
| MFS | MFS Lifetime 2040 Fund Class I | 55275E549 | MLFIX | | | | 0.76000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---------------------------------|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Lifetime 2040 Fund Class R1 | 55275E531 | MLFEX | | | 1.00 | 1.76000 | | SELL ONLY |
| MFS | MFS Lifetime 2040 Fund Class R2 | 55275E515 | MLFGX | | | .50 | 1.26000 | | SELL ONLY |
| MFS | MFS Lifetime 2040 Fund Class R3 | 55275E499 | MLFHX | | | .25 | 1.01000 | | SELL ONLY |
| MFS | MFS Lifetime 2040 Fund Class R6 | 55275E226 | MLFKX | | | | 0.62000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class A | 55279J718 | LTMAX | 5.75 | | .25 | 1.05000 | | BUY,SELL |
| MFS | MFS Lifetime 2045 Fund Class B | 55279J692 | LTMBX | | 4.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class C | 55279J684 | LTMDX | | 1.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class I | 55279J676 | LTMKX | | | | 0.80000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class R1 | 55279J668 | LTMRX | | | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class R2 | 55279J650 | LTMSX | | | .50 | 1.30000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class R3 | 55279J643 | LTMTX | | | .25 | 1.05000 | | SELL ONLY |
| MFS | MFS Lifetime 2045 Fund Class R6 | 55275E218 | LTMLX | | | | 0.65000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class A | 55275E382 | MFFSX | 5.75 | | .25 | 1.06000 | | BUY,SELL |
| MFS | MFS Lifetime 2050 Fund Class B | 55275E374 | MFFRX | | 4.00 | 1.00 | 1.81000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class C | 55275E366 | MFFDX | | 1.00 | 1.00 | 1.81000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class I | 55275E358 | MFFIX | | | | 0.81000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class R1 | 55275E341 | MFFMX | | | 1.00 | 1.81000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class R2 | 55275E333 | MFFNX | | | .50 | 1.31000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class R3 | 55275E325 | MFFOX | | | .25 | 1.06000 | | SELL ONLY |
| MFS | MFS Lifetime 2050 Fund Class R6 | 55275E184 | MFFKX | | | | 0.66000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class A | 55279J627 | LFIAX | 5.75 | | .25 | 1.10000 | | BUY,SELL |
| MFS | MFS Lifetime 2055 Fund Class B | 55279J619 | LFIBX | | 4.00 | 1.00 | 1.85000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class C | 55279J593 | LFICX | | 1.00 | 1.00 | 1.85000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class I | 55279J585 | LFIIX | | | | 0.85000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class R1 | 55279J577 | LFIRX | | | 1.00 | 1.85000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class R2 | 55279J569 | LFISX | | | .50 | 1.35000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class R3 | 55279J551 | LFITX | | | .25 | 1.10000 | | SELL ONLY |
| MFS | MFS Lifetime 2055 Fund Class R6 | 55275E176 | LFIKX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class A | 55279J536 | MFJAX | 5.75 | | .25 | 1.18000 | | BUY,SELL |
| MFS | MFS Lifetime 2060 Fund Class B | 55279J528 | MFJBX | | 4.00 | 1.00 | 1.93000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class C | 55279J510 | MFJCX | | 1.00 | 1.00 | 1.93000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class I | 55279J494 | MFJIX | | | | 0.93000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class R1 | 55279J486 | MFJEX | | | 1.00 | 1.93000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class R2 | 55279J478 | MFJGX | | | .50 | 1.43000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class R3 | 55279J460 | MFJTX | | | .25 | 1.18000 | | SELL ONLY |
| MFS | MFS Lifetime 2060 Fund Class R6 | 55279J445 | MFJKX | | | | 0.79000 | | SELL ONLY |
| MFS | MFS Lifetime 2065 Class A | 55279J437 | LFTFX | 5.75 | | .25 | 2.84000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Lifetime 2065 Class C | 55279J429 | LFTGX | | 1.00 | 1.00 | 3.59000 | | SELL ONLY |
| MFS | MFS Lifetime 2065 Class I | 55279J411 | LFTHX | | | | 2.59000 | | SELL ONLY |
| MFS | MFS Lifetime 2065 Class R1 | 55279J395 | LFTJX | | | 1.00 | 3.59000 | | SELL ONLY |
| MFS | MFS Lifetime 2065 Class R2 | 55279J387 | LFTKX | | | .50 | 3.09000 | | SELL ONLY |
| MFS | MFS Lifetime 2065 Class R3 | 55279J379 | LFTLX | | | .25 | 2.84000 | | SELL ONLY |
| MFS | MFS Lifetime 2065 Class R6 | 55279J353 | LFTNX | | | | 2.49000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class A | 55275E101 | MLLAX | 4.25 | | .25 | 0.88000 | | BUY,SELL |
| MFS | MFS Lifetime Income Fund Class B | 55275E200 | MLLBX | | 4.00 | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class C | 55275E309 | MLLCX | | 1.00 | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class I | 55275E408 | MLLIX | | | | 0.63000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class R1 | 55275E507 | MLLEX | | | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class R2 | 55275E705 | MLLGX | | | .50 | 1.13000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class R3 | 55275E804 | MLLHX | | | .25 | 0.88000 | | SELL ONLY |
| MFS | MFS Lifetime Income Fund Class R6 | 55275E275 | MLLKX | | | | 0.52000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class A | 55272P109 | MQLFX | 2.50 | | .25 | 0.74000 | | BUY,SELL |
| MFS | MFS Limited Maturity Fund Class B | 55272P406 | MQLBX | | 4.00 | 1.00 | 1.49000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class C | 55272P802 | MQLCX | | 1.00 | 1.00 | 1.49000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class I | 55272P869 | MQLIX | | | | 0.49000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class R1 | 55272P299 | MQLGX | | | 1.00 | 1.49000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class R2 | 55272P380 | MLMRX | | | .50 | 0.99000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class R3 | 55272P281 | MQLHX | | | .25 | 0.74000 | | SELL ONLY |
| MFS | MFS Limited Maturity Fund Class R6 | 55274K801 | MQLKX | | | | 0.41000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class A | 55273H312 | MLVAX | 5.75 | | .25 | 0.93000 | | BUY,SELL |
| MFS | MFS Low Volatility Equity Fund Class B | 55273H296 | MLVBX | | 4.00 | 1.00 | 1.68000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class C | 55273H288 | MLVGX | | 1.00 | 1.00 | 1.68000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class I | 55273H270 | MLVHX | | | | 0.68000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class R1 | 55273H262 | MLVMX | | | 1.00 | 1.68000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class R2 | 55273H254 | MLVOX | | | .50 | 1.18000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class R3 | 55273H247 | MLVPX | | | .25 | 0.93000 | | SELL ONLY |
| MFS | MFS Low Volatility Equity Fund Class R6 | 55273H221 | MLVTX | | | | 0.59000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Low Volatility Global Equity Fund Class A | 55273H213 | MVGAX | 5.75 | | .25 | 1.02000 | | BUY,SELL |
| MFS | MFS Low Volatility Global Equity Fund Class B | 55273H197 | MVGBX | | 4.00 | 1.00 | 1.77000 | | SELL ONLY |
| MFS | MFS Low Volatility Global Equity Fund Class C | 55273H189 | MVGCX | | 1.00 | 1.00 | 1.77000 | | SELL ONLY |
| MFS | MFS Low Volatility Global Equity Fund Class I | 55273H171 | MVGIX | | | | 0.77000 | | SELL ONLY |
| MFS | MFS Low Volatility Global Equity Fund Class R1 | 55273H163 | MVGJX | | | 1.00 | 1.77000 | | SELL ONLY |
| MFS | MFS Low Volatility Global Equity Fund Class R2 | 55273H155 | MVGKX | | | .50 | 1.27000 | | SELL ONLY |
| MFS | MFS Low Volatility Global Equity Fund Class R3 | 55273H148 | MVGLX | | | .25 | 1.02000 | | SELL ONLY |
| MFS | MFS Low Volatility Global Equity Fund Class R6 | 55273H122 | MVGNX | | | | 0.69000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class A | 552746315 | MNWA X | 5.75 | | .25 | 1.79000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class B | 552746299 | MNWB X | | 4.00 | 1.00 | 2.54000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class C | 552746281 | MNWC X | | 1.00 | 1.00 | 2.54000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class I | 552746273 | MNWX | | | | 1.54000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class R1 | 552746265 | MNWR X | | | 1.00 | 2.54000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class R2 | 552746257 | MNWS X | | | .50 | 2.04000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class R3 | 552746240 | MNWT X | | | .25 | 1.79000 | | SELL ONLY |
| MFS | MFS Managed Wealth Fund Class R6 | 552743536 | MNWX X | | | | 1.47000 | | SELL ONLY |
| MFS | MFS Maryland Municipal Bond Fund Class B | 55273N723 | MBMDX | | 4.00 | 1.00 | 1.74000 | | SELL ONLY |
| MFS | MFS Maryland Municipal Bond Fund Class I | 55273N376 | MMDIX | | | | 0.74000 | | SELL ONLY |
| MFS | MFS Maryland Municipal Bond Fund Class R6 | 55273N228 | MPMDX | | | | 0.67000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Massachusetts Investors Growth Stock Fund Class A | 575719109 | MIGFX | 5.75 | | .25 | 0.71000 | | BUY,SELL |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class B | 575719208 | MIGBX | | 4.00 | 1.00 | 1.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class C | 575719307 | MIGDX | | 1.00 | 1.00 | 1.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class I | 575719406 | MGTIX | | | | 0.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class R1 | 575719869 | MIGMX | | | 1.00 | 1.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class R2 | 575719877 | MIRGX | | | .50 | 0.96000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class R3 | 575719851 | MIGHX | | | .25 | 0.71000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Growth Stock Fund Class R6 | 575719828 | MIGNX | | | | 0.37000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class A | 575736103 | MITTX | 5.75 | | .25 | 0.71000 | | BUY,SELL |
| MFS | MFS Massachusetts Investors Trust Class B | 575736202 | MITBX | | 4.00 | 1.00 | 1.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class C | 575736301 | MITCX | | 1.00 | 1.00 | 1.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class I | 575736400 | MITIX | | | | 0.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class R1 | 575736855 | MITGX | | | 1.00 | 1.46000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class R2 | 575736863 | MIRTX | | | .50 | 0.96000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class R3 | 575736848 | MITHX | | | .25 | 0.71000 | | SELL ONLY |
| MFS | MFS Massachusetts Investors Trust Class R6 | 575736814 | MITJX | | | | 0.38000 | | SELL ONLY |
| MFS | MFS Massachusetts Municipal Bond Fund Class B | 55273N731 | MBMAX | | 4.00 | 1.00 | 1.62000 | | SELL ONLY |
| MFS | MFS Massachusetts Municipal Bond Fund Class I | 55273N368 | MTALX | | | | 0.62000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Massachusetts Municipal Bond Fund Class R6 | 55273N210 | MPMAX | | | | 0.55000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class A | 552987703 | OTCAX | 5.75 | | .25 | 1.05000 | | BUY,SELL |
| MFS | MFS Mid Cap Growth Fund Class B | 552987802 | OTCBX | | 4.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class C | 552987885 | OTCCX | | 1.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class I | 552987877 | OTCIX | | | | 0.80000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class R1 | 552987810 | OTCGX | | | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class R2 | 552987828 | MCPRX | | | .50 | 1.30000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class R3 | 552987794 | OTCHX | | | .25 | 1.05000 | | SELL ONLY |
| MFS | MFS Mid Cap Growth Fund Class R6 | 552987554 | OTCKX | | | | 0.67000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class A | 55272P638 | MVCAX | 5.75 | | .25 | 1.00000 | | BUY,SELL |
| MFS | MFS Mid Cap Value Fund Class B | 55272P620 | MCBVX | | 4.00 | 1.00 | 1.75000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class C | 55272P612 | MVCCX | | 1.00 | 1.00 | 1.75000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class I | 55272P596 | MCVIX | | | | 0.75000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class R1 | 55273W582 | MVCGX | | | 1.00 | 1.75000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class R2 | 55273W590 | MVVRX | | | .50 | 1.25000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class R3 | 55273W574 | MVCHX | | | .25 | 1.00000 | | SELL ONLY |
| MFS | MFS Mid Cap Value Fund Class R6 | 55273W475 | MVCKX | | | | 0.63000 | | SELL ONLY |
| MFS | MFS Mississippi Municipal Bond Fund Class B | 55273N715 | MBMSX | | 4.00 | 1.00 | 1.78000 | | SELL ONLY |
| MFS | MFS Mississippi Municipal Bond Fund Class I | 55273N350 | MMSTX | | | | 0.78000 | | SELL ONLY |
| MFS | MFS Mississippi Municipal Bond Fund Class R6 | 55273N194 | MPMSX | | | | 0.72000 | | SELL ONLY |
| MFS | MFS Moderate Allocation Fund Class A | 55273G777 | MAMAX | 5.75 | | .25 | 0.90000 | | BUY,SELL |
| MFS | MFS Moderate Allocation Fund Class B | 55273G769 | MMABX | | 4.00 | 1.00 | 1.65000 | | SELL ONLY |
| MFS | MFS Moderate Allocation Fund Class C | 55273G751 | MMACX | | 1.00 | 1.00 | 1.65000 | | SELL ONLY |
| MFS | MFS Moderate Allocation Fund Class I | 55273G744 | MMAIX | | | | 0.65000 | | SELL ONLY |
| MFS | MFS Moderate Allocation Fund Class R1 | 552746703 | MAMFX | | | 1.00 | 1.65000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Moderate Allocation Fund Class R2 | 55273G348 | MARRX | | | .50 | 1.15000 | | SELL ONLY |
| MFS | MFS Moderate Allocation Fund Class R3 | 552746802 | MAMHX | | | .25 | 0.90000 | | SELL ONLY |
| MFS | MFS Moderate Allocation Fund Class R6 | 552743395 | MAMPX | | | | 0.58000 | | SELL ONLY |
| MFS | MFS Municipal High Income Fund Class B | 552984403 | MMHBX | | 4.00 | 1.00 | 1.67000 | | SELL ONLY |
| MFS | MFS Municipal High Income Fund Class C | 552984866 | MMHCX | | 1.00 | 1.00 | 1.67000 | | SELL ONLY |
| MFS | MFS Municipal High Income Fund Class I | 552984692 | MMIIX | | | | 0.67000 | | SELL ONLY |
| MFS | MFS Municipal High Income Fund Class R6 | 552984650 | MMHKX | | | | 0.59000 | | SELL ONLY |
| MFS | MFS Municipal Income Fund Class A1 | 55273N459 | MMIDX | 4.25 | | | 0.52000 | | SELL ONLY |
| MFS | MFS Municipal Income Fund Class B | 55273N566 | MMIBX | | 4.00 | 1.00 | 1.52000 | | SELL ONLY |
| MFS | MFS Municipal Income Fund Class B1 | 55273N442 | MMIGX | | 4.00 | 1.00 | 1.52000 | | SELL ONLY |
| MFS | MFS Municipal Income Fund Class C | 55273N525 | MMICX | | 1.00 | 1.00 | 1.52000 | | SELL ONLY |
| MFS | MFS Municipal Income Fund Class I | 55273N434 | MIMIX | | | | 0.52000 | | SELL ONLY |
| MFS | MFS Municipal Income Fund Class R6 | 55273N186 | MPMNX | | | | 0.45000 | | SELL ONLY |
| MFS | MFS Municipal Intermediate Fund Class C | 55283C204 | MIUCX | | 1.00 | 1.00 | 1.60000 | | SELL ONLY |
| MFS | MFS Municipal Intermediate Fund Class I | 55283C303 | MIUIX | | | | 0.60000 | | SELL ONLY |
| MFS | MFS Municipal Intermediate Fund Class R6 | 55283C402 | MIURX | | | | 0.53000 | | SELL ONLY |
| MFS | MFS Municipal Limited Maturity Fund Class B | 55272P604 | MTLBX | | 4.00 | 1.00 | 1.47000 | | SELL ONLY |
| MFS | MFS Municipal Limited Maturity Fund Class C | 55272P885 | MTLCX | | 1.00 | 1.00 | 1.47000 | | SELL ONLY |
| MFS | MFS Municipal Limited Maturity Fund Class I | 55274K504 | MTLIX | | | | 0.47000 | | SELL ONLY |
| MFS | MFS Municipal Limited Maturity Fund Class R6 | 55274K744 | MTLRX | | | | 0.40000 | | SELL ONLY |
| MFS | MFS New Discovery Fund Class A | 552983553 | MNDAX | 5.75 | | .25 | 1.30000 | | BUY,SELL |
| MFS | MFS New Discovery Fund Class B | 552983546 | MNDBX | | 4.00 | 1.00 | 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 |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS New Discovery Fund Class C | 552983538 | MNDCX | | 1.00 | 1.00 | 2.05000 | | SELL ONLY |
| MFS | MFS New Discovery Fund Class I | 552983520 | MNDIX | | | | 1.05000 | | SELL ONLY |
| MFS | MFS New Discovery Fund Class R1 | 55273H759 | MNDGX | | | 1.00 | 2.05000 | | SELL ONLY |
| MFS | MFS New Discovery Fund Class R2 | 552983173 | MNDRX | | | .50 | 1.55000 | | SELL ONLY |
| MFS | MFS New Discovery Fund Class R3 | 55273H742 | MNDHX | | | .25 | 1.30000 | | SELL ONLY |
| MFS | MFS New Discovery Fund Class R6 | 55273H346 | MNDKX | | | | 0.91000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class A | 55278M100 | NDVAX | 5.75 | | .25 | 1.20000 | | BUY,SELL |
| MFS | MFS New Discovery Value Fund Class B | 55278M209 | NDVBX | | 4.00 | 1.00 | 1.95000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class C | 55278M308 | NDVCX | | 1.00 | 1.00 | 1.95000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class I | 55278M407 | NDVIX | | | | 0.95000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class R1 | 55278M506 | NDVRX | | | 1.00 | 1.95000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class R2 | 55278M605 | NDVSX | | | .50 | 1.45000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class R3 | 55278M704 | NDVTX | | | .25 | 1.20000 | | SELL ONLY |
| MFS | MFS New Discovery Value Fund Class R6 | 552982696 | NDVVX | | | | 0.85000 | | SELL ONLY |
| MFS | MFS New York Municipal Bond Fund Class B | 55273N681 | MBNYX | | 4.00 | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS New York Municipal Bond Fund Class C | 55273N467 | MCNYX | | 1.00 | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS New York Municipal Bond Fund Class I | 55273N343 | MNYLX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS New York Municipal Bond Fund Class R6 | 55273N178 | MPNYX | | | | 0.62000 | | SELL ONLY |
| MFS | MFS North Carolina Municipal Bond Fund Class B | 55273N699 | MBNCX | | 4.00 | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS North Carolina Municipal Bond Fund Class C | 55273N541 | MCNCX | | 1.00 | 1.00 | 1.61000 | | SELL ONLY |
| MFS | MFS North Carolina Municipal Bond Fund Class I | 55273N335 | MNCLX | | | | 0.61000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS North Carolina Municipal Bond Fund Class R6 | 55273N160 | MPNCX | | | | 0.54000 | | SELL ONLY |
| MFS | MFS Pennsylvania Municipal Bond Fund Class B | 55273N673 | MBPAX | | 4.00 | 1.00 | 1.70000 | | SELL ONLY |
| MFS | MFS Pennsylvania Municipal Bond Fund Class I | 55273N327 | MPALX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS Pennsylvania Municipal Bond Fund Class R6 | 55273N152 | MPPAX | | | | 0.63000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class A | 55278K872 | FPPAX | 5.75 | | .25 | 1.89000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class B | 55278K864 | FPPDX | | 4.00 | 1.00 | 2.64000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class C | 55278K856 | FPPEX | | 1.00 | 1.00 | 2.64000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class I | 55278K849 | FPPJX | | | | 1.64000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class R1 | 55278K831 | FPPRX | | | 1.00 | 2.64000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class R2 | 55278K823 | FPPSX | | | .50 | 2.14000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class R3 | 55278K815 | FPPQX | | | .25 | 1.89000 | | SELL ONLY |
| MFS | MFS Prudent Investor Fund Class R6 | 55278K781 | FPPVX | | | | 1.57000 | | SELL ONLY |
| MFS | MFS Research Fund Class A | 552981102 | MFRFX | 5.75 | | .25 | 0.80000 | | BUY,SELL |
| MFS | MFS Research Fund Class B | 552981201 | MFRBX | | 4.00 | 1.00 | 1.55000 | | SELL ONLY |
| MFS | MFS Research Fund Class C | 552981508 | MFRCX | | 1.00 | 1.00 | 1.55000 | | SELL ONLY |
| MFS | MFS Research Fund Class I | 552981706 | MRFIX | | | | 0.55000 | | SELL ONLY |
| MFS | MFS Research Fund Class R1 | 552981540 | MFRLX | | | 1.00 | 1.55000 | | SELL ONLY |
| MFS | MFS Research Fund Class R2 | 552981573 | MSRRX | | | .50 | 1.05000 | | SELL ONLY |
| MFS | MFS Research Fund Class R3 | 552981532 | MFRHX | | | .25 | 0.80000 | | SELL ONLY |
| MFS | MFS Research Fund Class R6 | 552981391 | MFRKX | | | | 0.49000 | | SELL ONLY |
| MFS | MFS Research International Fund Class A | 552983512 | MRSAX | 5.75 | | .25 | 1.05000 | | BUY,SELL |
| MFS | MFS Research International Fund Class B | 552983496 | MRIBX | | 4.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Research International Fund Class C | 552983488 | MRICX | | 1.00 | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Research International Fund Class I | 552983470 | MRSIX | | | | 0.80000 | | SELL ONLY |
| MFS | MFS Research International Fund Class R1 | 55273H551 | MRSGX | | | 1.00 | 1.80000 | | SELL ONLY |
| MFS | MFS Research International Fund Class R2 | 552983124 | MRSRX | | | .50 | 1.30000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Research International Fund Class R3 | 55273H544 | MRSHX | | | .25 | 1.05000 | | SELL ONLY |
| MFS | MFS Research International Fund Class R6 | 55273H361 | MRSKX | | | | 0.70000 | | SELL ONLY |
| MFS | MFS South Carolina Municipal Bond Fund Class B | 55273N665 | MBSCX | | 4.00 | 1.00 | 1.64000 | | SELL ONLY |
| MFS | MFS South Carolina Municipal Bond Fund Class I | 55273N319 | MTSCX | | | | 0.64000 | | SELL ONLY |
| MFS | MFS South Carolina Municipal Bond Fund Class R6 | 55273N145 | MPOCX | | | | 0.58000 | | SELL ONLY |
| MFS | MFS Technology Fund Class A | 552983462 | MTCAX | 5.75 | | .25 | 1.15000 | | BUY,SELL |
| MFS | MFS Technology Fund Class B | 552983454 | MTCBX | | 4.00 | 1.00 | 1.90000 | | SELL ONLY |
| MFS | MFS Technology Fund Class C | 552983447 | MTCCX | | 1.00 | 1.00 | 1.90000 | | SELL ONLY |
| MFS | MFS Technology Fund Class I | 552983439 | MTCIX | | | | 0.90000 | | SELL ONLY |
| MFS | MFS Technology Fund Class R1 | 55273H585 | MTCKX | | | 1.00 | 1.90000 | | SELL ONLY |
| MFS | MFS Technology Fund Class R2 | 552983132 | MTERX | | | .50 | 1.40000 | | SELL ONLY |
| MFS | MFS Technology Fund Class R3 | 55273H577 | MTCHX | | | .25 | 1.15000 | | SELL ONLY |
| MFS | MFS Technology Fund Class R6 | 55273H338 | MTCLX | | | | 0.81000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class A | 55272P810 | MRBFX | 4.25 | | .25 | 0.78000 | | BUY,SELL |
| MFS | MFS Total Return Bond Fund Class B | 55272P794 | MRBBX | | 4.00 | 1.00 | 1.53000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class C | 55272P786 | MRBCX | | 1.00 | 1.00 | 1.53000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class I | 55272P778 | MRBIX | | | | 0.53000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class R1 | 55272P265 | MRBGX | | | 1.00 | 1.53000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class R2 | 55272P372 | MRRRX | | | .50 | 1.03000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class R3 | 55272P257 | MRBHX | | | .25 | 0.78000 | | SELL ONLY |
| MFS | MFS Total Return Bond Fund Class R6 | 55274K603 | MRBKX | | | | 0.43000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class A | 552981300 | MSFRX | 5.75 | | .25 | 0.73000 | | BUY,SELL |
| MFS | MFS Total Return Fund Class B | 552981409 | MTRBX | | 4.00 | 1.00 | 1.48000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class C | 552981607 | MTRCX | | 1.00 | 1.00 | 1.48000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class I | 552981805 | MTRIX | | | | 0.48000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class R1 | 552981474 | MSFFX | | | 1.00 | 1.48000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class R2 | 552981557 | MTRRX | | | .50 | 0.98000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class R3 | 552981466 | MSFHX | | | .25 | 0.73000 | | SELL ONLY |
| MFS | MFS Total Return Fund Class R6 | 552981375 | MSFKX | | | | 0.40000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class A | 552986309 | MMUFX | 5.75 | | .25 | 1.03000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| MFS | MFS Utilities Fund Class B | 552986408 | MMUBX | | 4.00 | 1.00 | 1.78000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class C | 552986705 | MMUCX | | 1.00 | 1.00 | 1.78000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class I | 552986879 | MMUIX | | | | 0.78000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class R1 | 552986697 | MMUGX | | | 1.00 | 1.78000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class R2 | 552986770 | MURRX | | | .50 | 1.28000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class R3 | 552986689 | MMUHX | | | .25 | 1.03000 | | SELL ONLY |
| MFS | MFS Utilities Fund Class R6 | 552986598 | MMUKX | | | | 0.69000 | | SELL ONLY |
| MFS | MFS Value Fund Class A | 552983801 | MEIAX | 5.75 | | .25 | 0.80000 | | BUY,SELL |
| MFS | MFS Value Fund Class B | 552983843 | MFEBX | | 4.00 | 1.00 | 1.55000 | | SELL ONLY |
| MFS | MFS Value Fund Class C | 552983835 | MEICX | | 1.00 | 1.00 | 1.55000 | | SELL ONLY |
| MFS | MFS Value Fund Class I | 552983694 | MEIIX | | | | 0.55000 | | SELL ONLY |
| MFS | MFS Value Fund Class R1 | 55273H650 | MEIGX | | | 1.00 | 1.55000 | | SELL ONLY |
| MFS | MFS Value Fund Class R2 | 552983116 | MVRRX | | | .50 | 1.05000 | | SELL ONLY |
| MFS | MFS Value Fund Class R3 | 55273H643 | MEIHX | | | .25 | 0.80000 | | SELL ONLY |
| MFS | MFS Value Fund Class R6 | 55273H353 | MEIKX | | | | 0.45000 | | SELL ONLY |
| MFS | MFS Virginia Municipal Bond Fund Class B | 55273N632 | MBVAX | | 4.00 | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS Virginia Municipal Bond Fund Class C | 55273N533 | MVACX | | 1.00 | 1.00 | 1.63000 | | SELL ONLY |
| MFS | MFS Virginia Municipal Bond Fund Class I | 55273N285 | MIVAX | | | | 0.63000 | | SELL ONLY |
| MFS | MFS Virginia Municipal Bond Fund Class R6 | 55273N129 | MPVOX | | | | 0.55000 | | SELL ONLY |
| MFS | MFS West Virginia Municipal Bond Fund Class B | 55273N616 | MBWVX | | 4.00 | 1.00 | 1.78000 | | SELL ONLY |
| MFS | MFS West Virginia Municipal Bond Fund Class I | 55273N277 | MWVIX | | | | 0.78000 | | SELL ONLY |
| MFS | MFS West Virginia Municipal Bond Fund Class R6 | 55273N111 | MPWVX | | | | 0.70000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Developing Opportunity Portfolio Class A | 61768B851 | MDOAX | 5.25 | | .25 | 1.99000 | 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 |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Developing Opportunity Portfolio Class C | 61768B844 | MDOBX | | 1.00 | 1.00 | 2.74000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Developing Opportunity Portfolio Class I | 61768B869 | MDOEX | | | | 1.69000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Developing Opportunity Portfolio Class R6 | 61768B836 | MDODX | | | | 29.92000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Emerging Markets ex China Portfolio Class A | 61768B620 | MSDQX | 5.25 | 1.00 | .25 | 10.80000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Emerging Markets ex China Portfolio Class C | 61768B612 | MSDOX | | 1.00 | 1.00 | 11.57000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Emerging Markets ex China Portfolio Class I | 61768B638 | MSDUX | | | | 7.05000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Emerging Markets ex China Portfolio Class R6 | 61768B596 | MSDMX | | | | 10.54000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Europe Opportunity Fund Inc. Class A | 616939104 | EUGAX | 5.25 | | .25 | 1.59000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Europe Opportunity Fund Inc. Class C | 616939708 | MSEEX | | 1.00 | 1.00 | 2.42000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Europe Opportunity Fund Inc. Class I | 616939401 | EUGDX | | | | 1.33000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Europe Opportunity Fund Inc. Class L | 616939302 | EUGCX | | | .75 | 2.34000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Endurance Portfolio Class A | 61766J138 | MSJAX | 5.25 | | .25 | 1.95000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Endurance Portfolio Class C | 61766J120 | MSJCX | | 1.00 | 1.00 | 3.03000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Endurance Portfolio Class I | 61766J146 | MSJIX | | | | 1.62000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Endurance Portfolio Class R6 | 61766J112 | MSJSX | | | | 17.07000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Fixed Income Opportunities Fund Class A | 616961108 | DINAX | 3.25 | | .25 | 0.86000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Fixed Income Opportunities Fund Class C | 61765E106 | MSIPX | | 1.00 | 1.00 | 1.62000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Fixed Income Opportunities Fund Class I | 616961405 | DINDX | | | | 0.60000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Global Fixed Income Opportunities Fund Class IR | 616961603 | MFIRX | | | | 20.67000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Fixed Income Opportunities Fund Class L | 616961306 | DINCX | | | .50 | 1.23000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Fixed Income Opportunities Fund Class R6 | 61762E109 | MGFOX | | | | 0.50000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Focus Real Estate Portfolio Class A | 61768B752 | MSBEX | 5.25 | | .25 | 2.20000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Focus Real Estate Portfolio Class I | 61768B760 | MSBDX | | | | 1.69000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Focus Real Estate Portfolio Class R6 | 61768B737 | MSBPX | | | | 2.16000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Permanence Portfolio Class A | 61768B208 | MGKAX | 5.25 | | .25 | 4.69000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Permanence Portfolio Class C | 61768B307 | MGKCX | | 1.00 | 1.00 | 5.69000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Permanence Portfolio Class I | 61768B109 | MGKIX | | | | 4.40000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Global Permanence Portfolio Class R6 | 61768B406 | MGKQX | | | | 21.25000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Insight Fund Class A | 61747T106 | CPOAX | 5.25 | | .25 | 1.15000 | | BUY,SELL |
| Morgan Stanley | Morgan Stanley Insight Fund Class C | 61762C202 | MSCMX | | 1.00 | 1.00 | 1.92000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Insight Fund Class I | 61747T403 | CPODX | | | | 0.93000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Insight Fund Class IR | 61747T502 | MBIRX | | | | 14.61000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Insight Fund Class L | 61747T304 | CPOCX | | | .75 | 1.64000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Insight Fund Class R6 | 61762C103 | MCRTX | | | | 0.80000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Corporate Bond Portfolio Class A | 617440490 | MIGAX | 3.25 | | .25 | 1.21000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Corporate Bond Portfolio Class C | 617455787 | MSBOX | | 1.00 | 1.00 | 2.08000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Corporate Bond Portfolio Class I | 617440805 | MPFDX | | | | 1.00000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Corporate Bond Portfolio Class L | 617440276 | MGILX | | | .50 | 1.59000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Discovery Portfolio Class A | 617440599 | MACGX | 5.25 | | .25 | 1.02000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Discovery Portfolio Class C | 617455746 | MSMFX | | 1.00 | 1.00 | 1.80000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Discovery Portfolio Class I | 617440508 | MPEGX | | | | 0.74000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Discovery Portfolio Class L | 617440169 | MSKLX | | | .75 | 1.56000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Discovery Portfolio Class R6 | 617455308 | MMCGX | | | | 0.65000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class A | 617455282 | MAAUX | 5.25 | | .25 | 1.20000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class I | 617455290 | MAAQX | | | | 0.82000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class R6 | 617455266 | MAADX | | | | 0.75000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Global Strategist Portfolio Class A | 617440557 | MBAAX | 5.25 | | .25 | 1.04000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Global Strategist Portfolio Class C | 617455779 | MSSOX | | 1.00 | 1.00 | 1.97000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Global Strategist Portfolio Class Institutional | 617440839 | MPBAX | | | | 0.85000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Global Strategist Portfolio Class L | 617440185 | MSDLX | | | .75 | 1.56000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Global Strategist Portfolio Class R6 | 617455720 | MGPOX | | | | 0.70000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust High Yield Portfolio Class A | 617440219 | MSYPX | 3.25 | | .25 | 1.45000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust High Yield Portfolio Class C | 617455761 | MSHDX | | 1.00 | 1.00 | 2.22000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust High Yield Portfolio Class I | 617440235 | MSYIX | | | | 1.19000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust High Yield Portfolio Class IR | 617455522 | MRHYX | | | | 21.53000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust High Yield Portfolio Class L | 617440227 | MSYLX | | | .50 | 3.18000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust High Yield Portfolio Class R6 | 617455407 | MSHYX | | | | 1.10000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Ultra-Short Income Portfolio Class A | 617455670 | MUAIX | | | .25 | 0.55000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Ultra-Short Income Portfolio Class IR | 617455696 | MULSX | | | | 0.30000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund Trust Ultra-Short Income Portfolio Institutional Class | 617455688 | MUIIX | | | .05 | 0.35000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Advantage Portfolio Class A | 61756E776 | MAPPX | 5.25 | | .25 | 1.26000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Advantage Portfolio Class C | 61760X547 | MSPRX | | 1.00 | 1.00 | 2.01000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Advantage Portfolio Class I | 61756E784 | MPAIX | | | | 1.01000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Advantage Portfolio Class L | 61756E750 | MAPLX | | | .75 | 1.92000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Advantage Portfolio Class R6 | 61760X729 | MADSX | | | | 0.90000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Asia Opportunity Portfolio Class A | 61760X240 | MSAUX | 5.25 | | .25 | 1.53000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Asia Opportunity Portfolio Class C | 61760X232 | MSAWX | | 1.00 | 1.00 | 2.26000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Asia Opportunity Portfolio Class I | 61760X224 | MSAQX | | | | 1.22000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Asia Opportunity Portfolio Class R6 | 61760X216 | MSAYX | | | | 1.17000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Leaders Portfolio Class A | 61760X596 | MELAX | 5.25 | | .25 | 1.40000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Leaders Portfolio Class C | 61760X273 | MEMLX | | 1.00 | 1.00 | 2.16000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Leaders Portfolio Class I | 61760X612 | MELIX | | | | 1.13000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Leaders Portfolio Class R6 | 61760X570 | MELSX | | | | 1.08000 | 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 |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Portfolio Class A | 61744J580 | MMKBX | 5.25 | | .25 | 1.41000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Portfolio Class C | 61760X497 | MSEPX | | 1.00 | 1.00 | 3.10000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Portfolio Class I | 61744J820 | MGEM X | | | | 1.09000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Portfolio Class IR | 61766J260 | MRGEX | | | | 22.91000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Portfolio Class L | 61756E289 | MSELX | | | .75 | 3.16000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Emerging Markets Portfolio Class R6 | 61760X794 | MMMP X | | | | 0.97000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Concentrated Portfolio Class A | 61766J609 | MLNAX | 5.25 | | .25 | 1.41000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Concentrated Portfolio Class C | 61766J708 | MLNCX | | 1.00 | 1.00 | 2.17000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Concentrated Portfolio Class I | 61766J500 | MLNIX | | | | 1.12000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Concentrated Portfolio Class R6 | 61766J807 | MLNSX | | | | 19.78000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Core Portfolio Class A | 61766J872 | MLMAX | 5.25 | | .25 | 2.32000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Core Portfolio Class C | 61766J864 | MLMCX | | 1.00 | 1.00 | 3.12000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Core Portfolio Class I | 61766J880 | MLMIX | | | | 1.99000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Core Portfolio Class R6 | 61766J856 | MLMSX | | | | 16.70000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Franchise Portfolio Class A | 61744J275 | MSFBX | 5.25 | | .25 | 1.17000 | | BUY,SELL |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Franchise Portfolio Class C | 61760X463 | MSGFX | | 1.00 | 1.00 | 1.91000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Franchise Portfolio Class I | 61744J283 | MSFAX | | | | 0.92000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Franchise Portfolio Class L | 61756E263 | MSFLX | | | .75 | 1.67000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|--|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Franchise Portfolio Class R6 | 61760X265 | MGISX | | | | 0.83000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Infrastructure Portfolio Class A | 61756E644 | MTIPX | 5.25 | | .25 | 1.42000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Infrastructure Portfolio Class C | 61760X315 | MSGTX | | 1.00 | 1.00 | 2.27000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Infrastructure Portfolio Class I | 61756E651 | MTIIX | | | | 1.20000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Infrastructure Portfolio Class IR | 61766J294 | MRGO X | | | | 19.17000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Infrastructure Portfolio Class L | 61756E628 | MTILX | | | .75 | 2.01000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Infrastructure Portfolio Class R6 | 61760X737 | MSGPX | | | | 21.87000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Insight Portfolio Class A | 61756E578 | MIGPX | 5.25 | | .25 | 1.69000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Insight Portfolio Class C | 61760X489 | MSPTX | | 1.00 | 1.00 | 2.44000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Insight Portfolio Class I | 61756E594 | MIGIX | | | | 1.37000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Insight Portfolio Class L | 61756E586 | MIGLX | | | .75 | 3.18000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Opportunity Portfolio Class A | 61756E685 | MGGPX | 5.25 | | .25 | 1.25000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Opportunity Portfolio Class C | 61760X448 | MSOPX | | 1.00 | 1.00 | 1.96000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Opportunity Portfolio Class I | 61756E693 | MGGIX | | | | 0.95000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Opportunity Portfolio Class IR | 61766J336 | MGOR X | | | | 0.86000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Opportunity Portfolio Class L | 61756E669 | MGGLX | | | .75 | 1.80000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Opportunity Portfolio Class R6 | 61760X786 | MGTSX | | | | 0.88000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Real Estate Portfolio Class A | 61744J135 | MRLBX | 5.25 | | .25 | 35.33000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Real Estate Portfolio Class C | 61760X422 | MSRDX | | 1.00 | 1.00 | 36.96000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Real Estate Portfolio Class I | 61744J143 | MRLAX | | | | 7.58000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Real Estate Portfolio Class IR | 61766J286 | MRLEX | | | | 27.61000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Real Estate Portfolio Class L | 61756E875 | MGRLX | | | .75 | 2.69000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Real Estate Portfolio Class R6 | 61760X778 | MGREX | | | | 36.37000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Stars Portfolio Class A | 61760X646 | MGQAX | 5.25 | | .25 | 1.46000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Stars Portfolio Class C | 61760X430 | MSGQX | | 1.00 | 1.00 | 2.18000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Stars Portfolio Class I | 61760X653 | MGQIX | | | | 1.15000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Stars Portfolio Class L | 61760X638 | MGQLX | | | .75 | 2.02000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Stars Portfolio Class R6 | 61760X620 | MGQSX | | | | 1.07000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Growth Portfolio Class A | 61744J564 | MSEGX | 5.25 | | .25 | 0.82000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Growth Portfolio Class C | 61760X414 | MSGUX | | 1.00 | 1.00 | 1.57000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Growth Portfolio Class I | 61744J861 | MSEQX | | | | 0.56000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Growth Portfolio Class L | 61756E156 | MSHLX | | | .75 | 1.31000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Growth Portfolio Class R6 | 61760X711 | MGRPX | | | | 0.51000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Inception Portfolio Class A | 61744J614 | MSSMX | 5.25 | | .25 | 1.36000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Inception Portfolio Class C | 61760X299 | MSCOX | | 1.00 | 1.00 | 2.22000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Inception Portfolio Class I | 61744J309 | MSSGX | | | | 1.11000 | 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 |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Inception Portfolio Class L | 61756E396 | MSSLX | | | .75 | 2.55000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Inception Portfolio Class R6 | 61756E149 | MFLFX | | | | 1.11000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Advantage Portfolio Class A | 61756E446 | MFAPX | 5.25 | | .25 | 1.27000 | | BUY,SELL |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Advantage Portfolio Class C | 61760X380 | MSIAX | | 1.00 | 1.00 | 1.97000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Advantage Portfolio Class I | 61756E461 | MFAIX | | | | 1.00000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Advantage Portfolio Class L | 61756E453 | MSALX | | | .75 | 2.26000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Advantage Portfolio Class R6 | 61766J344 | IDVSX | | | | 0.89000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Equity Portfolio Class A | 61744J499 | MIQBX | 5.25 | | .25 | 1.38000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Equity Portfolio Class C | 61760X372 | MSECX | | 1.00 | 1.00 | 2.32000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Equity Portfolio Class I | 61744J408 | MSIQX | | | | 1.02000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Equity Portfolio Class L | 61756E248 | MSQLX | | | .75 | 1.84000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Equity Portfolio Class R6 | 61760X760 | MIQPX | | | | 0.93000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Opportunity Portfolio Class A | 61756E826 | MIOPX | 5.25 | | .25 | 1.26000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Opportunity Portfolio Class C | 61760X364 | MSOCX | | 1.00 | 1.00 | 1.99000 | 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 |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Opportunity Portfolio Class I | 61756E834 | MIOIX | | | | 0.94000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Opportunity Portfolio Class IR | 61766J328 | MRNPX | | | | 0.92000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Opportunity Portfolio Class L | 61756E792 | MIOLX | | | .75 | 3.03000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. International Opportunity Portfolio Class R6 | 61760X752 | MNOPX | | | | 0.96000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Next Gen Emerging Markets Portfolio Class A | 61760X810 | MFMPX | 5.25 | | .25 | 2.84000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Next Gen Emerging Markets Portfolio Class C | 61760X331 | MSFEX | | 1.00 | 1.00 | 4.20000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Next Gen Emerging Markets Portfolio Class I | 61760X836 | MFMI X | | | | 2.47000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Next Gen Emerging Markets Portfolio Class L | 61760X828 | MFMLX | | | .75 | 4.38000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Next Gen Emerging Markets Portfolio Class R6 | 61760X562 | MSRFX | | | | 8.23000 | 2.00 | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Passport Overseas Equity Portfolio class A | 61744J655 | MSIBX | 5.25 | | .25 | 1.28000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Passport Overseas Equity Portfolio class C | 61760X554 | MSAAX | | 1.00 | 1.00 | 2.74000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Passport Overseas Equity Portfolio class I | 61744J846 | MSACX | | | | 1.02000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Passport Overseas Equity Portfolio class IR | 61768B885 | MAIHX | | | | 19.62000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Passport Overseas Equity Portfolio class L | 61756E313 | MSLLX | | | .75 | 1.84000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Passport Overseas Equity Portfolio class R6 | 61768B877 | MAIJX | | | | 12.52000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Permanence Portfolio Class A | 61768B810 | MSHNX | 5.25 | | .25 | 8.09000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Permanence Portfolio Class I | 61768B828 | MSHMX | | | | 7.44000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Permanence Portfolio Class R6 | 61768B786 | MSHPX | | | | 11.18000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. U.S. Real Estate Portfolio Class A | 61744J457 | MUSDY | 5.25 | | .25 | 2.06000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. U.S. Real Estate Portfolio Class C | 61760X281 | MSURX | | 1.00 | 1.00 | 4.65000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. U.S. Real Estate Portfolio Class I | 61744J671 | MSUSX | | | | 1.78000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. U.S. Real Estate Portfolio Class IR | 61766J278 | MRETX | | | | 28.75000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. U.S. Real Estate Portfolio Class L | 61756E420 | MSULX | | | .75 | 2.68000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. U.S. Real Estate Portfolio Class R6 | 61760X687 | MURSX | | | | 5.94000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. US Core Portfolio Class A | 61766J831 | MUOAX | 5.25 | | .25 | 1.16000 | | BUY,SELL |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. US Core Portfolio Class C | 61766J823 | MUOCX | | 1.00 | 1.00 | 1.92000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. US Core Portfolio Class I | 61766J849 | MUOIX | | | | 0.91000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. US Core Portfolio Class R6 | 61766J815 | MUOSX | | | | 19.75000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Institutional Fund, Inc. Global Insight Portfolio Class R6 | 61768B778 | MGZZX | | | | 51.28000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Long Duration Government Opportunities Fund Class A | 616969101 | USGAX | 3.25 | | .25 | 1.17000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Long Duration Government Opportunities Fund Class C | 616969507 | MSGVX | | 1.00 | 1.00 | 1.90000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Long Duration Government Opportunities Fund Class I | 616969408 | USGDX | | | | 0.91000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Long Duration Government Opportunities Fund Class L | 616969309 | USGCX | | | .50 | 1.46000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Mortgage Securities Trust Class A | 616962106 | MTGAX | 3.25 | | .25 | 1.20000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Mortgage Securities Trust Class C | 616962502 | MSMTX | | 1.00 | 1.00 | 2.01000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Mortgage Securities Trust Class I | 616962403 | MTGDX | | | | 0.91000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Mortgage Securities Trust Class L | 616962304 | MTGCX | | | .50 | 2.22000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Mortgage Securities Trust Class R6 | 616962700 | MORG X | | | | 26.50000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Multi-Asset Real Return Portfolio A | 61766J179 | MRJAX | 5.25 | | .25 | 2.38000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Multi-Asset Real Return Portfolio C | 61766J161 | MRJCX | | 1.00 | 1.00 | 3.10000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Multi-Asset Real Return Portfolio I | 61766J187 | MRJIX | | | | 2.04000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Multi-Asset Real Return Portfolio R6 | 61766J153 | MRJSX | | | | 17.87000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley U.S. Focus Real Estate Portfolio Class A | 61768B711 | MAAYX | 5.25 | | .25 | 11.02000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley U.S. Focus Real Estate Portfolio Class I | 61768B729 | MAAW X | | | | 6.10000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley U.S. Focus Real Estate Portfolio Class R6 | 61768B687 | MABCX | | | | 11.20000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Vitality Portfolio Class A | 61768B661 | MSVEX | 5.25 | | .25 | 20.21000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Morgan Stanley | Morgan Stanley Vitality Portfolio Class I | 61768B679 | MSVDX | | | | 13.74000 | | SELL ONLY |
| Morgan Stanley | Morgan Stanley Vitality Portfolio Class R6 | 61768B646 | MSVOX | | | | 20.55000 | | SELL ONLY |
| Nationwide | Nationwide Amundi Strategic Income Fund Class A | 63868C623 | NWXEX | 2.25 | | .25 | 1.20000 | | SELL ONLY |
| Nationwide | Nationwide Amundi Strategic Income Fund Class R6 | 63868C599 | NWXGX | | | | 0.70000 | | SELL ONLY |
| Nationwide | Nationwide Amundi Strategic Income Fund Institutional Service Class | 63868C581 | NWXHX | | | | 0.82000 | | SELL ONLY |
| Nationwide | Nationwide Bailard Cognitive Value Fund Class A | 63868B807 | NWHDX | 5.75 | | .25 | 1.44000 | | SELL ONLY |
| Nationwide | Nationwide Bailard Cognitive Value Fund Class R6 | 63868B864 | NWHGX | | | | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide Bailard Cognitive Value Fund Institutional Service Class | 63868B856 | NWHHX | | | | 1.19000 | | SELL ONLY |
| Nationwide | Nationwide Bailard International Equities Fund Class A | 63868B849 | NWHJX | 5.75 | | .25 | 1.22000 | | SELL ONLY |
| Nationwide | Nationwide Bailard International Equities Fund Class R6 | 63868B815 | NWHMX | | | | 0.89000 | | SELL ONLY |
| Nationwide | Nationwide Bailard International Equities Fund Institutional Service Class | 63868B799 | NWHNX | | | | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Bailard Technology and Science Fund Class A | 63868B781 | NWHOX | 5.75 | | .25 | 1.23000 | | SELL ONLY |
| Nationwide | Nationwide Bailard Technology and Science Fund Class R6 | 63868B757 | NWHTX | | | | 0.91000 | | SELL ONLY |
| Nationwide | Nationwide Bailard Technology and Science Fund Institutional Service Class | 63868B740 | NWHUX | | | | 0.99000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Core Plus Bond ESG Fund Class A | 63868B500 | NWCPX | 4.25 | | .25 | 0.86000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Core Plus Bond ESG Fund Class Institutional Service | 63868B609 | NWCSX | | | | 0.63000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Core Plus Bond ESG Fund Class R6 | 63868B708 | NWCIX | | | | 0.52000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Core Fund Class A | 63867R282 | NMFAX | 5.75 | | .25 | 0.88000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Core Fund Class R | 63867R241 | GGFRX | | | .50 | 1.29000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Core Fund Class R6 | 63867R258 | MUIGX | | | | 0.54000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Core Fund Eagle Class | 63868D878 | NWAEX | | | | 0.64000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Core Fund Institutional Service Class | 63867V192 | NGISX | | | | 0.71000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Equity Income Fund Class A | 63868D811 | NWALX | 5.75 | | .25 | 1.20000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Equity Income Fund Class K | 63868D795 | NWAMX | | | .10 | 0.80000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Equity Income Fund Class R6 | 63868D787 | NWANX | | | | 0.70000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Equity Income Fund Eagle Class | 63868D761 | NWAPX | | | | 0.80000 | | SELL ONLY |
| Nationwide | Nationwide BNY Mellon Dynamic U.S. Equity Income Fund Institutional Service Class | 63868D779 | NWAOX | | | | 0.95000 | | SELL ONLY |
| Nationwide | Nationwide Bond Fund Class A | 63867R100 | NBDAX | 2.25 | | .25 | 0.83000 | | SELL ONLY |
| Nationwide | Nationwide Bond Fund Class R6 | 63868B401 | NWIBX | | | | 0.51000 | | SELL ONLY |
| Nationwide | Nationwide Bond Fund Institutional Service Class | 63867R407 | MUIBX | | | | 0.59000 | | SELL ONLY |
| Nationwide | Nationwide Bond Index Fund Class A | 63867R886 | GBIAX | 2.25 | | .25 | 0.73000 | | SELL ONLY |
| Nationwide | Nationwide Bond Index Fund Class R6 | 63867R845 | GBXIX | | | | 0.31000 | | SELL ONLY |
| Nationwide | Nationwide Bond Index Fund Institutional Service Class | 63868C524 | NWXOX | | | | 0.56000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2025 Fund Class A | 63867N778 | NWHA X | 5.75 | | .25 | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2025 Fund Class R | 63867N745 | NWHB X | | | .50 | 1.19000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2025 Fund Class R6 | 63867N729 | NWHIX | | | | 0.44000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2025 Fund Institutional Service Class | 63867N737 | NWHS X | | | | 0.69000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Destination 2030 Fund Class A | 63867N711 | NWIAX | 5.75 | | .25 | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2030 Fund Class R | 63867N679 | NWBIX | | | .50 | 1.19000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2030 Fund Class R6 | 63867N653 | NWIIX | | | | 0.44000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2030 Fund Institutional Service Class | 63867N661 | NWISX | | | | 0.69000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2035 Fund Class A | 63867N646 | NWLAX | 5.75 | | .25 | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2035 Fund Class R | 63867N612 | NWLBX | | | .50 | 1.19000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2035 Fund Class R6 | 63867N588 | NWLIX | | | | 0.44000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2035 Fund Institutional Service Class | 63867N596 | NWLSX | | | | 0.69000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2040 Fund Class A | 63867N570 | NWMA X | 5.75 | | .25 | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2040 Fund Class R | 63867N547 | NWMD X | | | .50 | 1.19000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2040 Fund Class R6 | 63867N521 | NWMH X | | | | 0.44000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2040 Fund Institutional Service Class | 63867N539 | NWMS X | | | | 0.69000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2045 Fund Class A | 63867N513 | NWNA X | 5.75 | | .25 | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2045 Fund Class R | 63867N471 | NWNB X | | | .50 | 1.18000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2045 Fund Class R6 | 63867N455 | NWNIX | | | | 0.43000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2045 Fund Institutional Service Class | 63867N463 | NWNS X | | | | 0.68000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2050 Fund Class A | 63867N448 | NWOA X | 5.75 | | .25 | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2050 Fund Class R | 63867N414 | NWOB X | | | .50 | 1.18000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Destination 2050 Fund Class R6 | 63867N380 | NWOIX | | | | 0.43000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2050 Fund Institutional Service Class | 63867N398 | NWOSX | | | | 0.68000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2055 Fund Class A | 63867N224 | NTDAX | 5.75 | | .25 | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2055 Fund Class R | 63867N182 | NTDTX | | | .50 | 1.18000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2055 Fund Class R6 | 63867N174 | NTDIX | | | | 0.43000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2055 Fund Institutional Service Class | 63867N166 | NTDSX | | | | 0.68000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2060 Fund Class A | 63867N158 | NWWRX | 5.75 | | .25 | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2060 Fund Class R | 63867N133 | NWWTX | | | .50 | 1.18000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2060 Fund Class R6 | 63867N125 | NWWUX | | | | 0.43000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2060 Fund Institutional Service Class | 63867N117 | NWWVX | | | | 0.68000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2065 Fund Class A | 63868D753 | NWAQX | 5.75 | | .25 | 0.92000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2065 Fund Class R | 63868D746 | NWARX | | | .50 | 1.17000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2065 Fund Class R6 | 63868D738 | NWASX | | | | 0.42000 | | SELL ONLY |
| Nationwide | Nationwide Destination 2065 Fund Institutional Service Class | 63868D720 | NWATX | | | | 0.67000 | | SELL ONLY |
| Nationwide | Nationwide Destination Retirement Fund Class A | 63867N703 | NWEAX | 5.75 | | .25 | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Destination Retirement Fund Class R | 63867N877 | NWEBX | | | .50 | 1.18000 | | SELL ONLY |
| Nationwide | Nationwide Destination Retirement Fund Class R6 | 63867N851 | NWEIX | | | | 0.43000 | | SELL ONLY |
| Nationwide | Nationwide Destination Retirement Fund Institutional Service Class | 63867N869 | NWESX | | | | 0.68000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Fund Class A | 63867R654 | NWFAX | 5.75 | | .25 | 0.92000 | | SELL ONLY |
| Nationwide | Nationwide Fund Class R | 63867R613 | GNWR X | | | .50 | 1.34000 | | SELL ONLY |
| Nationwide | Nationwide Fund Class R6 | 63868D803 | NWABX | | | | 0.59000 | | SELL ONLY |
| Nationwide | Nationwide Fund Institutional Service Class | 63867R621 | MUIFX | | | | 0.68000 | | SELL ONLY |
| Nationwide | Nationwide Geneva Mid Cap Growth Fund Class A | 63868B732 | NWHV X | 5.75 | | .25 | 1.11000 | | BUY,SELL |
| Nationwide | Nationwide Geneva Mid Cap Growth Fund Class R6 | 63868B716 | NWKAX | | | | 0.77000 | | SELL ONLY |
| Nationwide | Nationwide Geneva Mid Cap Growth Fund Institutional Service Class | 63868B690 | NWHY X | | | | 0.87000 | | SELL ONLY |
| Nationwide | Nationwide Geneva Small Cap Growth Fund Class A | 63868B682 | NWHZX | 5.75 | | .25 | 1.20000 | | SELL ONLY |
| Nationwide | Nationwide Geneva Small Cap Growth Fund Class R6 | 63868B666 | NWKC X | | | | 0.83000 | | SELL ONLY |
| Nationwide | Nationwide Geneva Small Cap Growth Fund Institutional Service Class | 63868B658 | NWKD X | | | | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide Global Sustainable Equity Fund Class A | 63867V184 | GGEAX | 5.75 | | .25 | 1.24000 | | SELL ONLY |
| Nationwide | Nationwide Global Sustainable Equity Fund Class R6 | 63867V150 | GGEIX | | | | 0.89000 | | SELL ONLY |
| Nationwide | Nationwide Global Sustainable Equity Fund Institutional Service Class | 63867V168 | GGESX | | | | 1.05000 | | SELL ONLY |
| Nationwide | Nationwide GQG US Quality Equity Fund Class A | 63868D712 | NWAU X | 5.75 | | .25 | 1.10000 | | SELL ONLY |
| Nationwide | Nationwide GQG US Quality Equity Fund Class R6 | 63868D696 | NWAVX | | | | 0.60000 | | SELL ONLY |
| Nationwide | Nationwide GQG US Quality Equity Fund Eagle Class | 63868D670 | NWAYX | | | | 0.70000 | | SELL ONLY |
| Nationwide | Nationwide Inflation-Protected Securities Fund Class A | 63867R142 | NIFAX | 2.25 | | .25 | 0.79000 | | SELL ONLY |
| Nationwide | Nationwide Inflation-Protected Securities Fund Class R6 | 63867R134 | NIFIX | | | | 0.36000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Inflation-Protected Securities Fund Institutional Service Class | 63868C532 | NWXN X | | | | 0.51000 | | SELL ONLY |
| Nationwide | Nationwide International Index Fund Class A | 63867T700 | GIIAX | 5.75 | | .25 | 0.74000 | | SELL ONLY |
| Nationwide | Nationwide International Index Fund Class R | 63867T874 | GIIRX | | | .50 | 1.09000 | | SELL ONLY |
| Nationwide | Nationwide International Index Fund Class R6 | 63867T866 | GIXIX | | | | 0.34000 | | SELL ONLY |
| Nationwide | Nationwide International Index Fund Institutional Service | 63868C516 | NWXPX | | | | 0.59000 | | SELL ONLY |
| Nationwide | Nationwide International Small Cap Fund Class A | 63868C474 | NWXSX | 5.75 | | .25 | 1.54000 | | SELL ONLY |
| Nationwide | Nationwide International Small Cap Fund Class R6 | 63868C458 | NWXU X | | | | 1.04000 | | SELL ONLY |
| Nationwide | Nationwide International Small Cap Fund Institutional Service Class | 63868C441 | NWXVX | | | | 1.15000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Aggressive Fund Class A | 63867T858 | NDAAX | 5.75 | | .25 | 0.83000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Aggressive Fund Class R | 63867T825 | GAFRX | | | .50 | 1.13000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Aggressive Fund Class R6 | 63867T817 | GAIDX | | | | 0.49000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Aggressive Fund Institutional Service Class | 63868B245 | NWWH X | | | | 0.62000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Conservative Fund Class A | 63867T783 | NDCAX | 5.75 | | .25 | 0.83000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Conservative Fund Class R | 63867T759 | GCFRX | | | .50 | 1.18000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Conservative Fund Class R6 | 63867T742 | GIMCX | | | | 0.53000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Conservative Fund Institutional Service Class | 63868B195 | NWWL X | | | | 0.62000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderate Fund Class A | 63867T726 | NADMX | 5.75 | | .25 | 0.83000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Investor Destinations Moderate Fund Class R | 63867T684 | GMDRX | | | .50 | 1.14000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderate Fund Class R6 | 63867T676 | GMDIX | | | | 0.49000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderate Fund Institutional Service Class | 63868B229 | NWWJ X | | | | 0.55000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Aggressive Fund Class A | 63867T650 | NDMAX | 5.75 | | .25 | 0.84000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Aggressive Fund Class R | 63867T627 | GMARX | | | .50 | 1.14000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Aggressive Fund Class R6 | 63867T619 | GMIAX | | | | 0.50000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Aggressive Fund Institutional Service Class | 63868B237 | NWWIX | | | | 0.56000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Conservative Fund Class A | 63867T585 | NADCX | 5.75 | | .25 | 0.83000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Conservative Fund Class R | 63867T551 | GMMR X | | | .50 | 1.16000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Conservative Fund Class R6 | 63867T544 | GMIMX | | | | 0.52000 | | SELL ONLY |
| Nationwide | Nationwide Investor Destinations Moderately Conservative Fund Institutional Service Class | 63868B211 | NWWK X | | | | 0.59000 | | SELL ONLY |
| Nationwide | Nationwide Janus Henderson Overseas Fund Class A | 63868D852 | NWAG X | 5.75 | | .25 | 1.30000 | | SELL ONLY |
| Nationwide | Nationwide Janus Henderson Overseas Fund Class R6 | 63868D845 | NWAH X | | | | 0.93000 | | SELL ONLY |
| Nationwide | Nationwide Janus Henderson Overseas Fund Institutional Service Class | 63868D837 | NWAKX | | | | 1.15000 | | SELL ONLY |
| Nationwide | Nationwide Loomis All Cap Growth Fund Class A | 63868D100 | NWZLX | 5.75 | | .25 | 1.35000 | | SELL ONLY |
| Nationwide | Nationwide Loomis All Cap Growth Fund Class R6 | 63868D209 | NWZM X | | | | 0.91000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Loomis All Cap Growth Fund Institutional Service Class | 63868D308 | NWZNX | | | | 1.16000 | | SELL ONLY |
| Nationwide | Nationwide Loomis Core Bond Fund Class A | 63868C102 | NWJGX | 2.25 | | .25 | 0.79000 | | SELL ONLY |
| Nationwide | Nationwide Loomis Core Bond Fund Class R6 | 63868C300 | NWJIX | | | | 0.48000 | | SELL ONLY |
| Nationwide | Nationwide Loomis Core Bond Fund Institutional Service Class | 63868C409 | NWJJX | | | | 0.73000 | | SELL ONLY |
| Nationwide | Nationwide Loomis Short Term Bond Fund Class A | 63868C847 | NWJSX | 2.25 | | .25 | 0.85000 | | SELL ONLY |
| Nationwide | Nationwide Loomis Short Term Bond Fund Class R6 | 63868C821 | NWJUX | | | | 0.50000 | | SELL ONLY |
| Nationwide | Nationwide Loomis Short Term Bond Fund Institutional Service Class | 63868C813 | NWJVX | | | | 0.61000 | | SELL ONLY |
| Nationwide | Nationwide Mid Cap Market Index Fund Class A | 63867U830 | GMXAX | 5.75 | | .25 | 0.70000 | | SELL ONLY |
| Nationwide | Nationwide Mid Cap Market Index Fund Class R | 63867U798 | GMXRX | | | .50 | 1.02000 | | SELL ONLY |
| Nationwide | Nationwide Mid Cap Market Index Fund Class R6 | 63867U780 | GMXIX | | | | 0.28000 | | SELL ONLY |
| Nationwide | Nationwide Mid Cap Market Index Fund Institutional Service Class | 63868C490 | NWXQX | | | | 0.51000 | | SELL ONLY |
| Nationwide | Nationwide NYSE Arca Tech 100 Index Fund Class A | 63868B377 | NWJCX | 5.75 | | .25 | 0.65000 | | SELL ONLY |
| Nationwide | Nationwide NYSE Arca Tech 100 Index Fund Class R6 | 63868B351 | NWJEX | | | | 0.31000 | | SELL ONLY |
| Nationwide | Nationwide NYSE Arca Tech 100 Index Fund Institutional Service Class | 63868B344 | NWJFX | | | | 0.42000 | | SELL ONLY |
| Nationwide | Nationwide S&P 500 Index Fund Class A | 63867U376 | GRMAX | 5.75 | | .25 | 0.58000 | | SELL ONLY |
| Nationwide | Nationwide S&P 500 Index Fund Class R | 63867U343 | GRMRX | | | .50 | 0.94000 | | SELL ONLY |
| Nationwide | Nationwide S&P 500 Index Fund Class R6 | 63867U335 | GRMIX | | | | 0.19000 | | SELL ONLY |
| Nationwide | Nationwide S&P 500 Index Fund Institutional Service Class | 63867U327 | GRISX | | | | 0.44000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nationwide | Nationwide Small Cap Index Fund Class A | 63867V705 | GMRA X | 5.75 | | .25 | 0.74000 | | SELL ONLY |
| Nationwide | Nationwide Small Cap Index Fund Class R | 63867V879 | GMSRX | | | .50 | 1.07000 | | SELL ONLY |
| Nationwide | Nationwide Small Cap Index Fund Class R6 | 63867V861 | GMRIX | | | | 0.32000 | | SELL ONLY |
| Nationwide | Nationwide Small Cap Index Fund Institutional Service Class | 63868C482 | NWXR X | | | | 0.56000 | | SELL ONLY |
| Nationwide | Nationwide Small Company Growth Fund Class A | 63867V226 | NWSA X | 5.75 | | .25 | 1.34000 | | SELL ONLY |
| Nationwide | Nationwide Small Company Growth Fund Institutional Service Class | 63867V218 | NWSIX | | | | 1.18000 | | SELL ONLY |
| Nationwide | Nationwide WCM Focused Small Cap Fund Class A | 63868B518 | NWGP X | 5.75 | | .25 | 1.23000 | | SELL ONLY |
| Nationwide | Nationwide WCM Focused Small Cap Fund Class R6 | 63868B492 | NWKEX | | | | 0.87000 | | SELL ONLY |
| Nationwide | Nationwide WCM Focused Small Cap Fund Institutional Service Class | 63868B484 | NWGS X | | | | 0.95000 | | SELL ONLY |
| Natixis Funds | Gateway Equity Call Premium Fund Class A | 367829843 | GCPA X | 5.75 | | .25 | 1.09000 | | SELL ONLY |
| Natixis Funds | Gateway Equity Call Premium Fund Class C | 367829835 | GCPCX | | 1.00 | 1.00 | 1.84000 | | SELL ONLY |
| Natixis Funds | Gateway Equity Call Premium Fund Class N | 367829785 | GCPNX | | | .00 | 1.28000 | | SELL ONLY |
| Natixis Funds | Gateway Equity Call Premium Fund Class Y | 367829827 | GCPYX | | | .00 | 0.84000 | | SELL ONLY |
| Natixis Funds | Gateway Fund Class A Shares | 367829207 | GATEX | 5.75 | | .25 | 0.98000 | | SELL ONLY |
| Natixis Funds | Gateway Fund Class C Shares | 367829702 | GTECX | | 1.00 | 1.00 | 1.73000 | | SELL ONLY |
| Natixis Funds | Gateway Fund Class Y Shares | 367829884 | GTEYX | | | .00 | 0.73000 | | SELL ONLY |
| Natixis Funds | Mirova Global Green Bond Fund Class A | 63872R525 | MGGA X | 4.25 | | .25 | 1.41000 | | SELL ONLY |
| Natixis Funds | Mirova Global Green Bond Fund Class N | 63872R517 | MGGN X | | | .00 | 1.08000 | | SELL ONLY |
| Natixis Funds | Mirova Global Green Bond Fund Class Y | 63872R491 | MGGYX | | | .00 | 1.16000 | | SELL ONLY |
| Natixis Funds | Mirova Global Sustainable Equity Fund Class A | 63872R558 | ESGMX | 5.75 | | .25 | 1.24000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Natixis Funds | Mirova Global Sustainable Equity Fund Class C | 63872R541 | ESGCX | | 1.00 | 1.00 | 1.99000 | | SELL ONLY |
| Natixis Funds | Mirova Global Sustainable Equity Fund Class N | 63872R392 | ESGNX | | | .00 | 0.89000 | | SELL ONLY |
| Natixis Funds | Mirova Global Sustainable Equity Fund Class Y | 63872R533 | ESGYX | | | .00 | 0.99000 | | SELL ONLY |
| Natixis Funds | Mirova International Sustainable Equity Fund Class A | 63872R368 | MRVAX | 5.75 | | .25 | 2.64000 | | SELL ONLY |
| Natixis Funds | Mirova International Sustainable Equity Fund Class N | 63872R350 | MRVNX | | | .00 | 2.28000 | | SELL ONLY |
| Natixis Funds | Mirova International Sustainable Equity Fund Class Y | 63872R343 | MRVYX | | | .00 | 2.39000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Oakmark International Fund Class A | 63872R624 | NOIAX | 5.75 | | .25 | 1.38000 | | BUY,SELL |
| Natixis Funds | Natixis Funds Trust I Oakmark International Fund Class C | 63872R616 | NOICX | | 1.00 | 1.00 | 2.13000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Oakmark International Fund Class N | 63872R418 | NIONX | | | .00 | 1.44000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Oakmark International Fund Class Y | 63872R426 | NOIYX | | | .00 | 1.13000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I U.S. Equity Opportunities Fund Class A | 63872R871 | NEFSX | 5.75 | | .25 | 1.09000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I U.S. Equity Opportunities Fund Class C | 63872R855 | NECCX | | 1.00 | 1.00 | 1.84000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I U.S. Equity Opportunities Fund Class N | 63872R384 | NESNX | | | .00 | 1.38000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I U.S. Equity Opportunities Fund Class Y | 63872R848 | NESYX | | | .00 | 0.84000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Vaughan Nelson Small Cap Value Fund Class A | 63872R756 | NEFJX | 5.75 | | .25 | 1.37000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Vaughan Nelson Small Cap Value Fund Class C | 63872R731 | NEJCX | | 1.00 | 1.00 | 2.12000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Vaughan Nelson Small Cap Value Fund Class N | 63872R376 | VSCNX | | | .00 | 1.08000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust I Vaughan Nelson Small Cap Value Fund Class Y | 63872R723 | NEJYX | | | .00 | 1.12000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Natixis Funds | Natixis Funds Trust II Oakmark Fund Class A | 63872T109 | NEFOX | 5.75 | | .25 | 1.15000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Oakmark Fund Class C | 63872T307 | NECOX | | 1.00 | 1.00 | 1.90000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Oakmark Fund Class N | 63873P791 | NOANX | | | .00 | 1.03000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Oakmark Fund Class Y | 63872T406 | NEOYX | | | .00 | 0.90000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Vaughan Nelson Mid Cap Fund Class A | 63872T844 | VNVAX | 5.75 | | .25 | 1.25000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Vaughan Nelson Mid Cap Fund Class C | 63872T836 | VNVCX | | 1.00 | 1.00 | 2.00000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Vaughan Nelson Mid Cap Fund Class N | 63872T430 | VNVNX | | | .00 | 0.90000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust II Vaughan Nelson Mid Cap Fund Class Y | 63872T828 | VNVYX | | | .00 | 1.00000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust IV AEW Global Focused Real Estate Fund Class A | 63872W102 | NRFAX | 5.75 | | .25 | 1.58000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust IV AEW Global Focused Real Estate Fund Class C | 63872W300 | NRCFX | | 1.00 | 1.00 | 2.33000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust IV AEW Global Focused Real Estate Fund Class N | 63872W508 | NRFNX | | | .00 | 1.24000 | | SELL ONLY |
| Natixis Funds | Natixis Funds Trust IV AEW Global Focused Real Estate Fund Class Y | 63872W409 | NRFYX | | | .00 | 1.33000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2015 Fund Class N | 63872W607 | NSFBX | | | .00 | 3.43000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2020 Fund Class N | 63872W706 | NSFDX | | | .00 | 4.30000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2025 Fund Class N | 63872W805 | NSFEX | | | .00 | 2.29000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2030 Fund Class N | 63872W888 | NSFFX | | | .00 | 1.56000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2035 Fund Class N | 63872W870 | NSFGX | | | .00 | 1.52000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2040 Fund Class N | 63872W862 | NSFHX | | | .00 | 1.50000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|------------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Natixis Funds | Natixis Target Retirement 2045 Fund Class N | 63872W854 | NSFJX | | | .00 | 1.63000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2050 Fund Class N | 63872W847 | NSFKX | | | .00 | 1.67000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2055 Fund Class N | 63872W839 | NSFLX | | | .00 | 1.90000 | | SELL ONLY |
| Natixis Funds | Natixis Target Retirement 2060 Fund Class N | 63872W821 | NSFMX | | | .00 | 2.35000 | | SELL ONLY |
| Natixis Funds | Natixis Vaughan Nelson Select Fund Class A | 63872T513 | VNSAX | 5.75 | | .25 | 1.15000 | | SELL ONLY |
| Natixis Funds | Natixis Vaughan Nelson Select Fund Class C | 63872T497 | VNSCX | | 1.00 | 1.00 | 1.90000 | | SELL ONLY |
| Natixis Funds | Natixis Vaughan Nelson Select Fund Class N | 63873P841 | VNSNX | | | .00 | 1.15000 | | SELL ONLY |
| Natixis Funds | Natixis Vaughan Nelson Select Fund Class Y | 63872T489 | VNSYX | | | .00 | 0.90000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Absolute Return Multi-Manager Fund Class A | 64128R871 | NABAX | 5.75 | | .25 | 2.88000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Absolute Return Multi-Manager Fund Class C | 64128R863 | NABCX | | 1.00 | 1.00 | 3.66000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Absolute Return Multi-Manager Fund Class I | 64128R855 | NABIX | | | | 2.52000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Absolute Return Multi-Manager Fund Class R6 | 64128R749 | NRABX | | | | 2.71000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Core Bond Fund Class A | 64128K207 | NCRAX | 4.25 | | .25 | 0.80000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman Core Bond Fund Class C | 64128K306 | NCRCX | | 1.00 | 1.00 | 1.57000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Core Bond Fund Class I | 64128K405 | NCRLX | | | | 0.43000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Core Bond Fund Class Investor | 64128K504 | NCRIX | | | .25 | 0.93000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Dividend Growth Fund Class A | 64122Q325 | NDGAX | 5.75 | | .25 | 1.45000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Dividend Growth Fund Class C | 64122Q317 | NDGCX | | 1.00 | 1.00 | 2.15000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|------------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman Dividend Growth Fund Class I | 64122Q291 | NDGIX | | | | 1.02000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Dividend Growth Fund Class R6 | 64122Q283 | NRDGX | | | | 1.25000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Debt Fund Class A | 64128K553 | NERAX | 4.25 | | .25 | 1.61000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Debt Fund Class C | 64128K546 | NERCX | | 1.00 | 1.00 | 2.20000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Debt Fund Class I | 64128K538 | NERIX | | | | 1.05000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Equity Fund Class A | 641224431 | NEMAX | 5.75 | | .25 | 1.70000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Equity Fund Class C | 641224423 | NEMCX | | 1.00 | 1.00 | 2.44000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Equity Fund Class I | 641224415 | NEMIX | | | | 1.34000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Equity Fund Class R3 | 64122Q804 | NEMRX | | | .50 | 2.08000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Emerging Markets Equity Fund Class R6 | 64122Q549 | NREMX | | | | 1.22000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Equity Income Fund Class A | 641224522 | NBHAX | 5.75 | | .25 | 1.08000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman Equity Income Fund Class C | 641224514 | NBHCX | | 1.00 | 1.00 | 1.83000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Equity Income Fund Class I | 641224498 | NBHIX | | | | 0.72000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Equity Income Fund Class R3 | 64122Q887 | NBHRX | | | .50 | 1.37000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Floating Rate Income Fund Class A | 64128K728 | NFIAX | 4.25 | | .25 | 1.12000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Floating Rate Income Fund Class C | 64128K710 | NFICX | | 1.00 | 1.00 | 1.84000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Floating Rate Income Fund Class I | 64128K694 | NFIIX | | | | 0.72000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Focus Fund Class A | 64122Q879 | NFAAX | 5.75 | | .25 | 1.15000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|------------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman Focus Fund Class Adv | 64122M209 | NBFAX | | | .25 | 1.35000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Focus Fund Class C | 64122Q861 | NFACX | | 1.00 | 1.00 | 1.96000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Focus Fund Class I | 64122Q853 | NFALX | | | | 0.77000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Focus Fund Class Investor | 641224506 | NBSSX | | | | 0.92000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Focus Fund Class Trust | 640917506 | NBFCX | | | .10 | 1.12000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Genesis Fund Advisor Class | 64122M605 | NBGAX | | | .25 | 1.34000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Genesis Fund Class R6 | 64122Q531 | NRGSX | | | | 0.74000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Genesis Fund Institutional Class | 641233200 | NBGIX | | | | 0.84000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Genesis Fund Investor Class | 641224100 | NBGNX | | | | 1.00000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Genesis Fund Trust Class | 640917100 | NBGEX | | | | 1.09000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman High Income Bond Fund Class A | 64128K702 | NHIAX | 4.25 | | .25 | 1.12000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman High Income Bond Fund Class C | 64128K801 | NHICX | | 1.00 | 1.00 | 1.86000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman High Income Bond Fund Class I | 64128K868 | NHILX | | | | 0.72000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman High Income Bond Fund Class Investor | 64128K850 | NHINX | | | | 0.88000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman High Income Bond Fund Class R3 | 64128K876 | NHIRX | | | .50 | 1.37000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman High Income Bond Fund Class R6 | 64128K579 | NRHIX | | | | 0.62000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Equity Fund Class A | 64122Q598 | NIQAX | 5.75 | | .25 | 1.41000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Equity Fund Class C | 64122Q580 | NIQCX | | 1.00 | 1.00 | 2.15000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Equity Fund Class I | 641224811 | NBIIX | | | | 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 |
|------------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman International Equity Fund Class Investor | 64122Q564 | NIQVX | | | | 1.22000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Equity Fund Class R6 | 64122Q457 | NRIQX | | | | 0.93000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Equity Fund Class Trust | 64122Q556 | NIQTX | | | | 1.28000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Select Fund Class A | 641224621 | NBNAX | 5.75 | | .25 | 1.36000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Select Fund Class C | 641224613 | NBNCX | | 1.00 | 1.00 | 2.16000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Select Fund Class I | 641224761 | NILIX | | | | 0.98000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Select Fund Class R3 | 641224274 | NBNRX | | | .50 | 1.64000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Select Fund Class R6 | 64122Q333 | NRILX | | | | 0.96000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Select Fund Class Trust | 641224753 | NILTX | | | .10 | 1.47000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Small Cap Fund Class A | 64122Q275 | NIOAX | 5.75 | | .25 | 11.23000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Small Cap Fund Class C | 64122Q267 | NIOCX | | 1.00 | 1.00 | 12.00000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Small Cap Fund Class R6 | 64122Q242 | NIORX | | | | 10.74000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman International Small Cap Fund I Class | 64122Q259 | NIOIX | | | | 10.78000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Intrinsic Value Fund Class A | 64122Q507 | NINAX | 5.75 | | .25 | 1.35000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Intrinsic Value Fund Class C | 64122Q606 | NINCX | | 1.00 | 1.00 | 2.10000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Intrinsic Value Fund Class I | 64122Q705 | NINLX | | | | 0.95000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund Class C | 641224332 | NGDCX | | 1.00 | 1.00 | 1.79000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund Class I | 641224290 | NGDLX | | | | 0.68000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|------------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund Class Investor | 641224209 | NGUAX | | | | 0.83000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund Class R3 | 641224316 | NGDRX | | | .50 | 1.36000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund Class Trust | 640917209 | NBGTX | | | .10 | 1.03000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund ClassA | 641224340 | NGDAX | 5.75 | | .25 | 1.05000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Growth Fund ClassA | 64122M308 | NBGUX | | | .25 | 1.34000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund Class A | 64122Q796 | NPNAX | 5.75 | | .25 | 0.98000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund Class C | 64122Q788 | NPNCX | | 1.00 | 1.00 | 1.72000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund Class I | 641224787 | NBPIX | | | | 0.60000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund Class Investor | 641224407 | NPRTX | | | | 0.76000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund Class R3 | 64122Q770 | NPNRX | | | .50 | 1.24000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund Class Trust | 640917407 | NBPTX | | | .10 | 0.95000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Large Cap Value Fund ClassA | 64122M506 | NBPBX | | | .25 | 1.10000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Long Short Fund Class A | 64128R400 | NLSAX | 5.75 | | .25 | 1.67000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Long Short Fund Class C | 64128R509 | NLSCX | | 1.00 | 1.00 | 2.42000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Long Short Fund Class Institutional | 64128R608 | NLSIX | | | | 1.30000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class A | 641224266 | NMGAX | 5.75 | | .25 | 1.07000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class C | 641224258 | NMGCX | | 1.00 | 1.00 | 1.82000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class I | 641224662 | NBMLX | | | | 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 |
|------------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class Investor | 641224308 | NMANX | | | | 0.86000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class R3 | 641224233 | NMGRX | | | .50 | 1.33000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class R6 | 64122Q523 | NRMGX | | | | 0.60000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund Class Trust | 640917308 | NBMTX | | | | 0.95000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Growth Fund ClassA | 64122M407 | NBMBX | | | .25 | 1.20000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Intrinsic Value Fund Class A | 64122Q739 | NBRAX | 5.75 | | .25 | 1.75000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Intrinsic Value Fund Class C | 64122Q721 | NBRCX | | 1.00 | 1.00 | 2.47000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Intrinsic Value Fund Class I | 641224779 | NBRTX | | | | 1.34000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Intrinsic Value Fund Class R3 | 64122Q713 | NBRRX | | | .50 | 2.01000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Intrinsic Value Fund Class Trust | 640917886 | NBREX | | | .10 | 1.70000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Mid Cap Intrinsic Value Fund Investor Class | 641224886 | NBRVX | | | | 1.51000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Multi-Cap Opportunities Fund Class A | 64122Q101 | NMUAX | 5.75 | | .25 | 1.25000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Multi-Cap Opportunities Fund Class C | 64122Q200 | NMUCX | | 1.00 | 1.00 | 1.99000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Multi-Cap Opportunities Fund Class I | 64122Q309 | NMULX | | | | 0.87000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal High Income Fund Class A | 64128K454 | NMHAX | 4.25 | | .25 | 1.33000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal High Income Fund Class C | 64128K447 | NMHGX | | 1.00 | 1.00 | 2.00000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal High Income Fund Class I | 64128K439 | NMHIX | | | | 0.97000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal Impact Fund Class I Shares | 64128K587 | NMIIX | | | | 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 |
|------------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman Municipal Intermediate Bond Fund Class A | 64128K686 | NMNAX | 4.25 | | .25 | 0.84000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal Intermediate Bond Fund Class C | 64128K678 | NMNCX | | 1.00 | 1.00 | 1.48000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal Intermediate Bond Fund Class I | 64128K660 | NMNLX | | | | 0.48000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Municipal Intermediate Bond Fund Class Investor | 64128K843 | NMUIX | | | | 0.66000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Real Estate Fund Class A | 64122Q762 | NREAX | 5.75 | | .25 | 1.40000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Real Estate Fund Class C | 64122Q754 | NRECX | | 1.00 | 1.00 | 2.16000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Real Estate Fund Class I | 641224795 | NBRIX | | | | 1.03000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Real Estate Fund Class R3 | 64122Q747 | NRERX | | | .50 | 1.66000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Real Estate Fund Class R6 | 64122Q515 | NRREX | | | | 0.94000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Real Estate Fund Class Trust | 641224845 | NBRFX | | | .10 | 1.40000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund Class A | 641224225 | NSNAX | 5.75 | | .25 | 1.53000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund Class C | 641224217 | NSNCX | | 1.00 | 1.00 | 2.25000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund Class I | 641224530 | NBSMX | | | | 1.13000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund Class Investor | 641224803 | NBMIX | | | | 1.32000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund Class R3 | 641224183 | NSNRX | | | .50 | 1.77000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund Class Trust | 640917803 | NBMOX | | | .10 | 1.51000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Small Cap Growth Fund ClassA | 641224829 | NBMVX | | | .25 | 1.68000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Strategic Income Fund Class A | 64128K777 | NSTAX | 2.50 | | .25 | 0.99000 | | BUY,SELL |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Neuberger Berman | Neuberger Berman Strategic Income Fund Class C | 64128K769 | NSTCX | | 1.00 | 1.00 | 1.74000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Strategic Income Fund Class I | 64128K751 | NSTLX | | | | 0.62000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Strategic Income Fund Class R6 | 64128K561 | NRSIX | | | | 0.52000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Strategic Income Fund Class Trust | 64128K744 | NSTTX | | | .10 | 1.01000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class A | 641224175 | NRAAX | 5.75 | | .25 | 1.06000 | | BUY,SELL |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class C | 641224167 | NRACX | | 1.00 | 1.00 | 1.82000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class I | 641224654 | NBSLX | | | | 0.70000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class Investor | 641224605 | NBSRX | | | | 0.87000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class R3 | 641224142 | NRARX | | | .50 | 1.32000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class R6 | 64122Q499 | NRSRX | | | | 0.60000 | | SELL ONLY |
| Neuberger Berman | Neuberger Berman Sustainable Equity Fund Class Trust | 640917860 | NBSTX | | | .10 | 1.05000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Balanced Class A | 56063U190 | MBNAX | 3.00 | | .25 | 1.07000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Balanced Class B | 56063U182 | MBNBX | | 5.00 | 1.00 | 2.17000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Balanced Class C | 56063U174 | MBACX | | 1.00 | 1.00 | 2.17000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Balanced Class I | 56063U166 | MBAIX | | | | 0.82000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Balanced Class R6 | 56064L496 | MBERX | | | | 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 |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Balanced Investor Class | 56063U117 | MBINX | 2.50 | | .25 | 1.42000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Debt Class A | 56062F475 | MGHAX | 4.50 | | .25 | 1.46000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Debt Class C | 56062F244 | MHYCX | | 1.00 | 1.00 | 2.70000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Debt Class I | 56062X559 | MGHIX | | | | 1.21000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Debt Investor Class | 56062X492 | MGHHX | 4.00 | | .25 | 1.95000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Equity Class A | 56064L561 | MCYAX | 5.50 | | .25 | 1.55000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Equity Class C | 56064L546 | MCYCX | | 1.00 | 1.00 | 2.48000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Equity Class I | 56064L538 | MCYIX | | | | 1.29000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Equity Class R6 | 56064L520 | MCYSX | | | | 1.23000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Candriam Emerging Markets Equity Investor Class | 56064L553 | MCYVX | 5.00 | | .25 | 1.72000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Global Infrastructure Class A | 56064L330 | VCRAx | 5.50 | | .25 | 1.28000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI CBRE Global Infrastructure Class C | 56064L314 | VCRCX | | 1.00 | 1.00 | 2.10000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI CBRE Global Infrastructure Class I | 56064L298 | VCRIX | | | | 1.03000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Global Infrastructure Class R6 | 56064L280 | VCRQX | | | | 0.92000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Global Infrastructure Investor Class | 56064L322 | VCRVX | 5.50 | | .25 | 1.35000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Real Estate Class A | 56064L272 | CLARX | 5.50 | | .25 | 1.43000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Real Estate Class C | 56064L256 | CRCRX | | | 1.00 | 2.09000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Real Estate Class I | 56064L249 | CRARX | | | | 1.18000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Real Estate Class R6 | 56064L223 | VREQX | | | | 0.85000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI CBRE Real Estate Fund Investor Class | 56064L264 | CRVRX | 5.00 | | .25 | 1.34000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative Allocation Class A | 56063U208 | MCKAX | 3.00 | | .25 | 0.83000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative Allocation Class B | 56063U307 | MCKBX | | 5.00 | 1.00 | 1.89000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative Allocation Class C | 56063U406 | MCKCX | | 1.00 | 1.00 | 1.89000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative Allocation Class I | 56063U505 | MCKIX | | | | 0.58000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Conservative Allocation Investor Class | 56063U109 | MCKNX | 2.50 | | .25 | 1.13000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative ETF Allocation Class A | 56065F605 | MNEAX | 3.00 | | .25 | 1.03000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative ETF Allocation Class C | 56065F803 | MNEKX | | 1.00 | 1.00 | 1.83000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative ETF Allocation Class I | 56065F886 | MNELX | | | | 0.78000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Conservative ETF Allocation Class R3 | 56065F878 | MNERX | | | .50 | 1.38000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Cushing? MLP Premier Class A | 56064B563 | CSHAX | 5.50 | | .25 | 1.49000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Cushing? MLP Premier Class C | 56064B548 | CSHCX | | 1.00 | 1.00 | 2.23000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Cushing? MLP Premier Class I | 56064B530 | CSHZX | | | | 1.24000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Cushing? MLP Premier Investor Class | 56064B555 | CSHNX | 5.00 | | .25 | 1.48000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Capital Growth Class A | 56063N824 | MECDX | 5.50 | | .25 | 1.26000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Capital Growth Class C | 56063N790 | MECEX | | 1.00 | 1.00 | 2.20000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Capital Growth Class I | 56063N782 | MECFX | | | | 1.01000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Epoch Capital Growth Investor Class | 56063N816 | MECVX | 5.00 | | .25 | 1.46000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Global Equity Yield Class A | 56063J880 | EPSPX | 5.50 | | .25 | 1.16000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Global Equity Yield Class C | 56063J872 | EPSKX | | 1.00 | 1.00 | 1.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Global Equity Yield Class I | 56063J864 | EPSYX | | | | 0.91000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Global Equity Yield Class R6 | 56064B647 | EPSRX | | | | 0.75000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch Global Equity Yield Investor Class | 56063J856 | EPSIX | 5.00 | | .25 | 1.19000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch International Choice Class A | 56063J732 | ICEVX | 5.50 | | .25 | 1.22000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI Epoch International Choice Class C | 56063J724 | ICEWX | | 1.00 | 1.00 | 2.43000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch International Choice Class I | 56063J716 | ICEUX | | | | 0.97000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch International Choice Investor Class | 56063J740 | ICELX | 5.00 | | .25 | 1.68000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch U.S. Equity Yield Class A | 56063J104 | EPLPX | 5.50 | | .25 | 1.06000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI Epoch U.S. Equity Yield Class B | 56064L637 | EPLBX | | 5.00 | 1.00 | 2.14000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Epoch U.S. Equity Yield Class C | 56063J203 | EPLKX | | | 1.00 | 1.00 | 2.14000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch U.S. Equity Yield Class I | 56063J302 | EPLCX | | | | 0.81000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch U.S. Equity Yield Class R6 | 56064L702 | EPLDX | | | | 0.73000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Epoch U.S. Equity Yield Investor Class | 56063J401 | EPLIX | 5.00 | | .25 | 1.39000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity Allocation Class A | 56063U703 | MGXAX | 3.00 | | .25 | 0.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity Allocation Class B | 56063U802 | MGXBX | | 5.00 | 1.00 | 2.03000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity Allocation Class C | 56063U885 | MGXCX | | 1.00 | 1.00 | 2.02000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity Allocation Class I | 56063U877 | MGXIX | | | | 0.69000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity Allocation Investor Class | 56063U604 | MGXNX | 2.50 | | .25 | 1.27000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity ETF Allocation Class A | 56065F753 | MWFA X | 3.00 | | .25 | 0.90000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity ETF Allocation Class C | 56065F738 | MWFC X | | 1.00 | 1.00 | 1.67000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Equity ETF Allocation Class I | 56065F720 | MWFIX | | | | 0.65000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|-------------------------------------|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Equity ETF Allocation Class R3 | 56065F712 | MWFQ X | | | .50 | 1.25000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Fiera SMID Growth Class A | 56065F472 | APSRX | 5.50 | | .25 | 1.20000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Fiera SMID Growth Class C | 56065F464 | APSLX | | 1.00 | 1.00 | 2.08000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Fiera SMID Growth Class I | 56065F456 | APSGX | | | | 0.95000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Fiera SMID Growth Class R6 | 56065F449 | APSDX | | | | 0.83000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Floating Rate Class A | 56063J377 | MXFAX | 3.00 | | .25 | 0.97000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Floating Rate Class C | 56063J351 | MXFCX | | 1.00 | 1.00 | 1.85000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Floating Rate Class I | 56063J344 | MXFIX | | | | 0.73000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Floating Rate Class R6 | 56064L793 | MXFEX | | | | 0.64000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Floating Rate Investor Class | 56063J385 | MXFNX | 2.50 | | .25 | 1.10000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth Allocation Class A | 56063U794 | MGDAX | 3.00 | | .25 | 0.87000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth Allocation Class B | 56063U786 | MGDBX | | 5.00 | 1.00 | 1.96000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---------------------------------------|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Growth Allocation Class C | 56063U778 | MGDCX | | | 1.00 | 1.00 | 1.96000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth Allocation Class I | 56063U760 | MGDIX | | | | 0.62000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth Allocation Investor Class | 56063U810 | MGDNX | 2.50 | | .25 | 1.21000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth ETF Allocation Class A | 56065F811 | MOEAX | 3.00 | | .25 | 0.87000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth ETF Allocation Class C | 56065F787 | MOECX | | 1.00 | 1.00 | 1.64000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth ETF Allocation Class I | 56065F779 | MOEIX | | | | 0.62000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Growth ETF Allocation Class R3 | 56065F761 | MOERX | | | .50 | 1.22000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Income Builder Class A | 56062F798 | MTRAX | 3.00 | | .25 | 1.03000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI Income Builder Class B | 56062F889 | MKTRX | | 5.00 | 1.00 | 2.04000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Income Builder Class C | 56062F426 | MCTRX | | 1.00 | 1.00 | 2.04000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Income Builder Class I | 56062X849 | MTOIX | | | | 0.78000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Income Builder Class R6 | 56063N683 | MTODX | | | | 0.69000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Income Builder Investor Class | 56062X369 | MTINX | 2.50 | | .25 | 1.29000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Arizona Muni Class A | 56064R105 | AZTAX | 3.00 | | .25 | 0.84000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Arizona Muni Class C | 56064R204 | AZTCX | | 1.00 | .50 | 1.14000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Arizona Muni Class I | 56064R303 | AZTYX | | | | 0.59000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Arizona Muni Class Z | 56064R402 | AZTFX | 3.00 | | .15 | 0.74000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay California Muni Class A | 56064B696 | MSCAX | 3.00 | | .25 | 0.77000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay California Muni Class C | 56064B688 | MSCCX | | 1.00 | .50 | 1.05000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay California Muni Class I | 56064B670 | MCOIX | | | | 0.52000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay California Muni Class R6 | 56064L769 | MSODX | | | | 0.48000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay California Muni Investor Class | 56064B712 | MSCVX | 2.50 | | .25 | 0.80000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Colorado Muni Class A | 56064R501 | COTAX | 3.00 | | .25 | 0.87000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Colorado Muni Class C | 56064R600 | COTCX | | 1.00 | .50 | 1.17000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI MacKay Colorado Muni Class I | 56064R709 | COTYX | | | | 0.62000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Colorado Muni Class Z | 56064R808 | COTFX | 3.00 | | .07 | 0.69000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Convertible Class A | 56062F780 | MCOAX | 5.50 | | .25 | 0.95000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Convertible Class B | 56062F301 | MCSVX | | 5.00 | 1.00 | 1.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Convertible Class C | 56062F434 | MCCVX | | 1.00 | 1.00 | 1.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Convertible Class I | 56063N600 | MCNVX | | | | 0.70000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Convertible Investor Class | 56062X526 | MCINX | 5.00 | | .25 | 1.19000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class A | 56062F772 | MHCAX | 4.50 | | .25 | 0.96000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class B | 56062F400 | MKHCX | | 5.00 | 1.00 | 1.89000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class C | 56062F376 | MYHCX | | 1.00 | 1.00 | 1.89000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class I | 56062X708 | MHYIX | | | | 0.71000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class R2 | 56063N501 | MHYRX | | | .25 | 1.06000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class R3 | 56063N857 | MHYTX | | | .50 | 1.31000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Class R6 | 56063N881 | MHYSX | | | | 0.56000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Corporate Bond Investor Class | 56062X476 | MHHIX | 4.00 | | .25 | 1.14000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Muni Bond Class C | 56063U539 | MMHD X | | 1.00 | 1.00 | 1.64000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Muni Bond Class I | 56063U521 | MMHIX | | | | 0.62000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Muni Bond Class R6 | 56064L751 | MMHEX | | | | 0.56000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay High Yield Muni Bond Investor Class | 56063U554 | MMHVX | 2.50 | | .25 | 0.89000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay New York Muni Class C | 56063U232 | MNOCX | | 1.00 | .50 | 1.03000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay New York Muni Class I | 56063U224 | MNOIX | | | | 0.51000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay New York Muni Class R6 | 56064L744 | MNODX | | | | 0.48000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay New York Muni Investor Class | 56063U216 | MNOVX | 2.50 | | .25 | 0.78000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Oregon Muni Class C | 56064R873 | ORTCX | | 1.00 | .50 | 1.11000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI MacKay Oregon Muni Class I | 56064R865 | ORTYX | | | | 0.56000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Oregon Muni Class Z | 56064R857 | ORTFX | 3.00 | | .15 | 0.71000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Duration High Income Class A | 56064B753 | MDHAX | 3.00 | | .25 | 1.06000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI MacKay Short Duration High Income Class C | 56064B746 | MDHCX | | 1.00 | 1.00 | 1.86000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Duration High Income Class I | 56064B738 | MDHIX | | | | 0.81000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Duration High Income Investor Class | 56064B761 | MDHVX | 2.50 | | .25 | 1.11000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Term Muni Class A | 56063J146 | MSTAX | 1.00 | | .25 | 0.69000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Term Muni Class I | 56063J138 | MSTIX | | | | 0.44000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Term Muni Class R6 | 56064L736 | MSTEX | | | | 0.41000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Short Term Muni Investor Class | 56063J153 | MYTBX | 0.50 | | .25 | 1.32000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Bond Class A | 56062F657 | MASAX | 4.50 | | .25 | 1.04000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Bond Class C | 56062F350 | MSICX | | 1.00 | 1.00 | 2.01000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI MacKay Strategic Bond Class I | 56062X500 | MSDIX | | | | 0.79000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Bond Class R6 | 56063N725 | MSYEX | | | | 0.65000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Bond Investor Class | 56062X518 | MSYDX | 4.00 | | .25 | 1.26000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Muni Allocation Class C | 56064L363 | MTFFX | | 1.00 | .50 | 1.07000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Muni Allocation Class I | 56064L355 | MTFGX | | | | 0.52000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Muni Allocation Class R6 | 56064L348 | MTFHX | | | | 0.46000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Muni Allocation Class Z | 56064R790 | MTFZX | 3.00 | | .15 | 0.67000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Strategic Muni Allocation Investor Class | 56064L371 | MTFEX | 2.50 | | .25 | 0.82000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Tax Free Bond Class B | 56062F806 | MKTBX | | 5.00 | .50 | 1.03000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Tax Free Bond Class C | 56062F327 | MTFCX | | 1.00 | .50 | 1.03000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Tax Free Bond Class I | 56063N709 | MTBIX | | | | 0.49000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Tax Free Bond Class R6 | 56063N717 | MTBDX | | | | 0.43000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI MacKay Tax Free Bond Investor Class | 56062X377 | MKINX | 2.50 | | .25 | 0.78000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Total Return Bond Class A | 56063J237 | MTMAX | 4.50 | | .25 | 0.91000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Total Return Bond Class C | 56063J211 | MTMCX | | 1.00 | 1.00 | 1.93000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Total Return Bond Class I | 56063J195 | MTMIX | | | | 0.65000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Total Return Bond Class R6 | 56064B431 | MTRDX | | | | 0.53000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Total Return Bond Investor Class | 56063J245 | MTMNX | 4.00 | | .25 | 1.18000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay U.S. Infrastructure Bond Class A | 56062F764 | MGVAX | 3.00 | | .25 | 0.99000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI MacKay U.S. Infrastructure Bond Class C | 56062F384 | MGVCX | | 1.00 | 1.00 | 2.13000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay U.S. Infrastructure Bond Class I | 56062X609 | MGOIX | | | | 0.74000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay U.S. Infrastructure Bond Class R6 | 56063N733 | MGVDX | | | | 0.56000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay U.S. Infrastructure Bond Investor Class | 56062X484 | MGVNX | 2.50 | | .25 | 1.37000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Utah Muni Class C | 56064R832 | UTACX | | 1.00 | .50 | 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 |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI MacKay Utah Muni Class I | 56064R824 | UTAYX | | | | 0.58000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI MacKay Utah Muni Class Z | 56064R816 | UTAHX | 3.00 | | .20 | 0.78000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate Allocation Class A | 56063U851 | MMRAX | 3.00 | | .25 | 0.83000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate Allocation Class B | 56063U844 | MMRBX | | 5.00 | 1.00 | 1.92000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate Allocation Class C | 56063U836 | MMRCX | | | 1.00 | 1.92000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate Allocation Class I | 56063U828 | MMRIX | | | | 0.58000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate Allocation Investor Class | 56063U869 | MMRD X | 2.50 | | .25 | 1.17000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate ETF Allocation Class A | 56065F860 | MDAAX | 3.00 | | .25 | 0.81000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate ETF Allocation Class C | 56065F845 | MDAKX | | 1.00 | 1.00 | 1.62000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate ETF Allocation Class I | 56065F837 | MDAIX | | | | 0.56000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Moderate ETF Allocation Class R3 | 56065F829 | MDARX | | | .50 | 1.16000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone Global Equity Class A | 56065F274 | FCGEX | 5.50 | | .25 | 1.77000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI PineStone Global Equity Class C | 56065F266 | FCGYX | | | 1.00 | 1.00 | 2.73000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone Global Equity Class I | 56065F258 | FCGIX | | | | | 1.52000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone Global Equity Class R6 | 56065F241 | FCGMX | | | | | 1.48000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone International Equity Class A | 56065F431 | FCIRX | 5.50 | | | .25 | 1.23000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone International Equity Class C | 56065F423 | FCICX | | | 1.00 | 1.00 | 2.36000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone International Equity Class I | 56065F415 | FCIUX | | | | | 0.98000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone International Equity Class R6 | 56065F357 | FCIWX | | | | | 0.90000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone International Equity Investor Class | 56065F399 | FCIKX | 5.00 | | | .25 | 1.61000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone U.S. Equity Class A | 56065F332 | FCUEX | 5.50 | | | .25 | 0.95000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone U.S. Equity Class C | 56065F324 | FCUCX | | | 1.00 | 1.00 | 1.87000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone U.S. Equity Class I | 56065F316 | FCUIX | | | | | 0.70000 | SELL ONLY |
| New York Life Investment Management LLC | NYLI PineStone U.S. Equity Class R6 | 56065F290 | FCUDX | | | | | 0.62000 | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI S&P 500 Index Class A | 56063J179 | MSXAX | 1.50 | | .25 | 0.52000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI S&P 500 Index Class I | 56063J161 | MSPIX | | | | 0.27000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI S&P 500 Index Investor Class | 56063J187 | MYSPX | 1.00 | | .25 | 0.84000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Short Term Bond Class A | 56063J260 | MIXAX | 1.00 | | .25 | 0.75000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Short Term Bond Class I | 56063J252 | MIXIX | | | | 0.48000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Short Term Bond Investor Class | 56063J278 | MIXNX | 0.50 | | .25 | 1.27000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class A | 56062X674 | MLAAX | 5.50 | | .25 | 0.98000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class B | 56062X666 | MLABX | | 5.00 | 1.00 | 1.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class C | 56062X658 | MLACX | | 1.00 | 1.00 | 1.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class I | 56062X641 | MLAIX | | | | 0.73000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class R1 | 56062X633 | MLRRX | | | | 0.83000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class R2 | 56062X625 | MLRTX | | | .25 | 1.08000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class R3 | 56062X617 | MLGRX | | | .50 | 1.33000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Class R6 | 56063N808 | MLRSX | | | | 0.64000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI Winslow Large Cap Growth Investor Class | 56062X450 | MLINX | 5.00 | | .25 | 1.19000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Enduring Capital Class A | 56062F541 | MSOAX | 5.50 | | .25 | 0.94000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Enduring Capital Class B | 56062F533 | MOPBX | | 5.00 | 1.00 | 1.92000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Enduring Capital Class C | 56062F269 | MGOC X | | 1.00 | 1.00 | 1.92000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Enduring Capital Class I | 56062X716 | MSOIX | | | | 0.69000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Enduring Capital Class R6 | 56063N774 | MCSDX | | | | 0.61000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Enduring Capital Investor Class | 56062X534 | MCSSX | 5.00 | | .25 | 1.17000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Growth Class A | 56064B829 | KLGAx | 5.50 | | .25 | 1.05000 | | BUY,SELL |
| New York Life Investment Management LLC | NYLI WMC Growth Class B | 56064B811 | KLGBX | | 5.00 | 1.00 | 2.25000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Growth Class C | 56064B795 | KLGCX | | 1.00 | 1.00 | 2.25000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI WMC Growth Class I | 56064B787 | KLGIX | | | | 0.80000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Growth Class R6 | 56064L504 | KLGDX | | | | 0.73000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Growth Investor Class | 56064B837 | KLGNX | 5.00 | | .25 | 1.50000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC International Research Equity Class A | 56063U653 | MYITX | 5.50 | | .25 | 1.21000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC International Research Equity Class C | 56063U646 | MYICX | | 1.00 | 1.00 | 2.34000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC International Research Equity Class I | 56063U638 | MYIIX | | | | 0.96000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC International Research Equity Investor Class | 56063U661 | MYINX | 5.00 | | .25 | 1.59000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Small Companies Class A | 56064B100 | MOPAX | 5.50 | | .25 | 1.22000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Small Companies Class B | 56064B209 | MOTBX | | 5.00 | 1.00 | 2.46000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Small Companies Class C | 56064B308 | MOPCX | | 1.00 | 1.00 | 2.46000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Small Companies Class I | 56064B407 | MOPIX | | | | 0.97000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Small Companies Investor Class | 56063U125 | MOINX | 5.00 | | .25 | 1.70000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|---|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| New York Life Investment Management LLC | NYLI WMC Value Class A | 56062F210 | MAPAX | 5.50 | | .25 | 1.04000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Value Class B | 56062F194 | MAPBX | | 5.00 | 1.00 | 2.05000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Value Class C | 56062F186 | MMPCX | | 1.00 | 1.00 | 2.05000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Value Class I | 56062F228 | MUBFX | | | | 0.79000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Value Class R6 | 56063N766 | MMPDX | | | | 0.71000 | | SELL ONLY |
| New York Life Investment Management LLC | NYLI WMC Value Investor Class | 56062X443 | MSMIX | 5.00 | | .25 | 1.30000 | | SELL ONLY |
| Nicholas | Nicholas Equity Income Fund Class I | 653734103 | NSEIX | | | | 0.70000 | | SELL ONLY |
| Nicholas | Nicholas Fund | 653735100 | NICSX | | | | 0.70000 | | SELL ONLY |
| Nicholas | Nicholas II Fund Class I | 653740100 | NCTWX | | | | 0.60000 | | SELL ONLY |
| Nicholas | Nicholas II Fund Class N | 653740209 | NNTWX | | | .23 | 0.91000 | | SELL ONLY |
| Nicholas | Nicholas Limited Edition Fund Class Institutional | 653738104 | NCLEX | | | | 0.85000 | | SELL ONLY |
| Nicholas | Nicholas Limited Edition Fund Class N | 653738203 | NNLEX | | | .23 | 1.16000 | | SELL ONLY |
| North Square | North Square Advisory Research Small Cap Value Fund Class I | 66263L775 | ADVGX | | | | 1.25000 | | SELL ONLY |
| North Square | North Square Altrinsic International Equity Fund Class I | 66263L767 | NSIVX | | | | 1.18000 | | SELL ONLY |
| North Square | North Square Core Plus Bond Fund Class I | 66263L676 | STTIX | | | | 1.93000 | | SELL ONLY |
| North Square | North Square Dynamic Small Cap Fund A | 66263L502 | ORSAX | 5.75 | | .25 | 1.54000 | | SELL ONLY |
| North Square | North Square Dynamic Small Cap Fund Class I | 66263L825 | ORSIX | | | | 1.33000 | | SELL ONLY |
| North Square | North Square Kennedy MicroCap Fund Class I | 66263L593 | NKMCX | | | | 1.68000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| North Square | North Square McKee Bond Fund Class I | 66263L643 | NMKYX | | | | 0.58000 | | SELL ONLY |
| North Square | North Square Multi Strategy Fund Class A | 66263L700 | ORILX | 5.75 | | .25 | 1.52000 | | SELL ONLY |
| North Square | North Square Multi Strategy Fund Class I | 66263L833 | PORYX | | | | 1.28000 | | SELL ONLY |
| North Square | North Square Preferred and Income Securities Fund Class I | 66263L882 | ORDNX | | | | 1.20000 | | SELL ONLY |
| North Square | North Square Spectrum Alpha Fund Class A | 66263L304 | ORIGX | 5.75 | | .25 | 2.26000 | | SELL ONLY |
| North Square | North Square Spectrum Alpha Fund Class I | 66263L858 | ORIYX | | | | 2.01000 | | SELL ONLY |
| North Square | North Square Strategic Income Fund I | 66263L791 | ADVNX | | | | 1.06000 | | SELL ONLY |
| North Square | North Square Tactical Defensive Fund Class A | 66263L718 | ETFRX | 5.75 | | .25 | 2.09000 | | SELL ONLY |
| North Square | North Square Tactical Defensive Fund Class C | 66263L692 | ETFZX | | 1.00 | 1.00 | 2.86000 | | SELL ONLY |
| North Square | North Square Tactical Defensive Fund Class I | 66263L684 | ETFWX | | | | 1.89000 | | SELL ONLY |
| North Square | North Square Tactical Growth Fund Class A Shares | 66263L734 | ETFAX | 5.75 | | .25 | 1.87000 | | SELL ONLY |
| North Square | North Square Tactical Growth Fund Class C Shares | 66263L742 | ETFCX | | 1.00 | 1.00 | 2.63000 | | SELL ONLY |
| North Square | North Square Tactical Growth Fund Class I Shares | 66263L726 | ETFOX | | | | 1.63000 | | SELL ONLY |
| Northern Funds | Northern Active M Emerging Market Equity Fund | 665162483 | NMMEX | | | | 1.42000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Active M International Equity Fund | 665162558 | NMIEX | | | | 0.94000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Arizona Tax-Exempt Fund | 665162764 | NOAZX | | | | 0.67000 | | SELL ONLY |
| Northern Funds | Northern Bond Index Fund | 665162533 | NOBOX | | | | 0.12000 | | SELL ONLY |
| Northern Funds | Northern California Intermediate Tax-Exempt Fund | 665162749 | NCITX | | | | 0.53000 | | SELL ONLY |
| Northern Funds | Northern California Tax-Exempt Fund | 665162731 | NCATX | | | | 0.56000 | | SELL ONLY |
| Northern Funds | Northern Core Bond Fund | 665162376 | NOCBX | | | | 0.52000 | | SELL ONLY |
| Northern Funds | Northern Emerging Markets Equity Index Fund | 665162582 | NOEMX | | | | 0.30000 | 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 |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Northern Funds | Northern Fixed Income Fund | 665162806 | NOFIX | | | | 0.51000 | | SELL ONLY |
| Northern Funds | Northern Global Real Estate Index Fund | 665162541 | NGREX | | | | 0.48000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Global Sustainability Index Fund Class K | 665162277 | NSRKX | | | | 0.25000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Global Tactical Asset Allocation Fund | 665162392 | BBALX | | | | 0.68000 | | SELL ONLY |
| Northern Funds | Northern High Yield Fixed Income Fund | 665162699 | NHFIX | | | | 0.65000 | 2.00 | SELL ONLY |
| Northern Funds | Northern High Yield Municipal Fund | 665162681 | NHYMX | | | | 0.65000 | | SELL ONLY |
| Northern Funds | Northern Income Equity Fund | 665162202 | NOIEX | | | | 0.63000 | | SELL ONLY |
| Northern Funds | Northern Intermediate Tax-Exempt Fund | 665162871 | NOITX | | | | 0.51000 | | SELL ONLY |
| Northern Funds | Northern International Equity Fund | 665162509 | NOIGX | | | | 0.65000 | 2.00 | SELL ONLY |
| Northern Funds | Northern International Equity Index Fund | 665130209 | NOINX | | | | 0.16000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Large Cap Core Fund | 665162590 | NOLCX | | | | 0.55000 | | SELL ONLY |
| Northern Funds | Northern Large Cap Value Fund | 665162632 | NOLVX | | | | 0.76000 | | SELL ONLY |
| Northern Funds | Northern Limited Term Tax-Exempt Fund | 665162525 | NSITX | | | | 0.51000 | | SELL ONLY |
| Northern Funds | Northern Limited Term U.S. Government Fund | 665162756 | NSIUX | | | | 0.64000 | | SELL ONLY |
| Northern Funds | Northern Mid Cap Index Fund | 665130100 | NOMIX | | | | 0.16000 | | SELL ONLY |
| Northern Funds | Northern Multi-Manager Global Listed Infrastructure Fund | 665162384 | NMFIK | | | | 1.04000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Multi-Manager Global Real Estate Fund | 665162475 | NMMGX | | | | 1.09000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Multi-Manager High Yield Opportunity Fund | 665162442 | NMHYX | | | | 0.77000 | 2.00 | SELL ONLY |
| Northern Funds | Northern Short Bond Fund | 665162368 | BSBAX | | | | 0.45000 | | SELL ONLY |
| Northern Funds | Northern Small Cap Core Fund Class K | 665162293 | NSCKX | | | | 0.58000 | | SELL ONLY |
| Northern Funds | Northern Small Cap Index Fund | 665162723 | NSIDX | | | | 0.16000 | | SELL ONLY |
| Northern Funds | Northern Small Cap Value Fund | 665162400 | NOSGX | | | | 1.16000 | | SELL ONLY |
| Northern Funds | Northern Stock Index Fund | 665162772 | NOSIX | | | | 0.09000 | | SELL ONLY |
| Northern Funds | Northern Tax-Advantaged Ultra-Short Fixed Income Fund | 665162459 | NTAUX | | | | 0.29000 | | SELL ONLY |
| Northern Funds | Northern Tax-Exempt Fund | 665162863 | NOTEX | | | | 0.50000 | | SELL ONLY |
| Northern Funds | Northern U.S. Government Fund | 665162889 | NOUGX | | | | 0.63000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|----------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Northern Funds | Northern U.S. Treasury Index Fund | 665162350 | BTIAX | | | | 0.27000 | | SELL ONLY |
| Northern Funds | Northern Ultra-Short Fixed Income Fund | 665162467 | NUSFX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen 5-15 Year Laddered Tax Exempt Bond Fund A Class | 886315878 | TIXRX | 3.00 | | .25 | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen 5-15 Year Laddered Tax Exempt Bond Fund I Class | 87245P627 | TIXHX | | | | 0.44000 | | SELL ONLY |
| Nuveen | Nuveen 5-15 Year Laddered Tax Exempt Bond Fund R6 Class | 886315860 | TITIX | | | | 0.34000 | | SELL ONLY |
| Nuveen | Nuveen All-American Municipal Bond Fund Class C | 67065Q665 | FACCX | | 1.00 | 1.00 | 1.56000 | | SELL ONLY |
| Nuveen | Nuveen All-American Municipal Bond Fund Class I | 67065Q855 | FAARX | | | .00 | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen All-American Municipal Bond Fund Class R6 | 67065Q566 | FAAWX | | | .00 | 0.53000 | | SELL ONLY |
| Nuveen | Nuveen Arizona Municipal Bond Fund Class C | 67065L633 | FZCCX | | 1.00 | 1.00 | 1.62000 | | SELL ONLY |
| Nuveen | Nuveen Arizona Municipal Bond Fund Class I | 67065L401 | NMARX | | | .00 | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Bond Index Fund A Class | 87245M616 | TBILX | 3.75 | | .25 | 0.39000 | | SELL ONLY |
| Nuveen | Nuveen Bond Index Fund I Class | 87245P692 | TBIAX | | | | 0.17000 | | SELL ONLY |
| Nuveen | Nuveen Bond Index Fund Premier Class | 87245M590 | TBIPX | | | .15 | 0.22000 | | SELL ONLY |
| Nuveen | Nuveen Bond Index Fund R6 Class | 87245M848 | TBIIX | | | | 0.07000 | | SELL ONLY |
| Nuveen | Nuveen Bond Index Fund Retirement Class | 87245M855 | TBIRX | | | | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen California High Yield Municipal Bond Fund Class A | 67065N589 | NCHAX | 4.20 | | .20 | 1.83000 | | SELL ONLY |
| Nuveen | Nuveen California High Yield Municipal Bond Fund Class C | 67065N480 | NAWSX | | 1.00 | 1.00 | 2.63000 | | SELL ONLY |
| Nuveen | Nuveen California High Yield Municipal Bond Fund Class I | 67065N555 | NCHRX | | | .00 | 1.63000 | | SELL ONLY |
| Nuveen | Nuveen California Municipal Bond Fund Class C | 67065N548 | NAKFX | | 1.00 | 1.00 | 1.54000 | | SELL ONLY |
| Nuveen | Nuveen California Municipal Bond Fund Class I | 67065N407 | NCSPX | | | .00 | 0.54000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Colorado Municipal Bond Fund Class C | 67065L625 | FAFKX | | 1.00 | 1.00 | 1.58000 | | SELL ONLY |
| Nuveen | Nuveen Colorado Municipal Bond Fund Class I | 67065L880 | FCORX | | | .00 | 0.58000 | | SELL ONLY |
| Nuveen | Nuveen Connecticut Municipal Bond Fund Class C | 67065N530 | FDCDX | | 1.00 | 1.00 | 1.60000 | | SELL ONLY |
| Nuveen | Nuveen Connecticut Municipal Bond Fund Class I | 67065N852 | FCTRX | | | .00 | 0.60000 | | SELL ONLY |
| Nuveen | Nuveen Core Bond Fund A Class | 886315712 | TIORX | 3.75 | | .25 | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen Core Bond Fund I Class | 87245P718 | TIBHX | | | | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Core Bond Fund Premier Class | 87245M491 | TIDPX | | | .15 | 0.44000 | | SELL ONLY |
| Nuveen | Nuveen Core Bond Fund R6 Class | 87244W607 | TIBDX | | | | 0.29000 | | SELL ONLY |
| Nuveen | Nuveen Core Bond Fund Retirement Class | 886315720 | TIDRX | | | | 0.54000 | | SELL ONLY |
| Nuveen | Nuveen Core Equity Fund A Class | 886315761 | TIIRX | 5.75 | | .25 | 0.70000 | | SELL ONLY |
| Nuveen | Nuveen Core Equity Fund I Class | 87245R185 | TGIHX | | | | 0.50000 | | SELL ONLY |
| Nuveen | Nuveen Core Equity Fund Premier Class | 87245M103 | TRPGX | | | .15 | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen Core Equity Fund R6 Class | 87244W409 | TIGRX | | | | 0.41000 | | SELL ONLY |
| Nuveen | Nuveen Core Equity Fund Retirement Class | 87244W763 | TRGIX | | | | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Core Impact Bond Fund A Class | 87245R714 | TSBRX | 3.75 | | .25 | 0.62000 | | BUY,SELL |
| Nuveen | Nuveen Core Impact Bond Fund I Class | 87245P635 | TSBHX | | | | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Core Impact Bond Fund Premier Class | 87245R680 | TSBPX | | | .15 | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Core Impact Bond Fund R6 Class | 87245R672 | TSBIX | | | | 0.36000 | | SELL ONLY |
| Nuveen | Nuveen Core Impact Bond Fund Retirement Class | 87245R698 | TSBBX | | | | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Core Plus Bond Fund A Class | 886315407 | TCBPX | 3.75 | | .25 | 0.63000 | | SELL ONLY |
| Nuveen | Nuveen Core Plus Bond Fund I Class | 87245P684 | TCBHX | | | | 0.39000 | | SELL ONLY |
| Nuveen | Nuveen Core Plus Bond Fund Premier Class | 87245M483 | TBPPX | | | .15 | 0.45000 | | SELL ONLY |
| Nuveen | Nuveen Core Plus Bond Fund R6 Class | 886315506 | TIBFX | | | | 0.30000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Core Plus Bond Fund Retirement Class | 886315605 | TCBRX | | | | 0.55000 | | SELL ONLY |
| Nuveen | Nuveen Credit Income Fund Class A | 670678218 | FJSIX | 4.75 | | .25 | 1.25000 | | BUY,SELL |
| Nuveen | Nuveen Credit Income Fund Class C | 670678267 | FCSIX | | 1.00 | 1.00 | 2.00000 | | SELL ONLY |
| Nuveen | Nuveen Credit Income Fund Class I | 670678234 | FJSYX | | | .00 | 1.00000 | | SELL ONLY |
| Nuveen | Nuveen Dividend Growth Fund Class A | 67065W662 | NSBAX | 5.75 | | .25 | 0.92000 | | BUY,SELL |
| Nuveen | Nuveen Dividend Growth Fund Class C | 67065W647 | NSBCX | | 1.00 | 1.00 | 1.67000 | | SELL ONLY |
| Nuveen | Nuveen Dividend Growth Fund Class I | 67065W639 | NSBRX | | | .00 | 0.67000 | | SELL ONLY |
| Nuveen | Nuveen Dividend Growth Fund Class R6 | 670725365 | NSBFX | | | .00 | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Dividend Value Fund Class A | 670678887 | FFEIX | 5.75 | | .25 | 1.00000 | | BUY,SELL |
| Nuveen | Nuveen Dividend Value Fund Class C | 670678317 | FFECX | | 1.00 | 1.00 | 1.75000 | | SELL ONLY |
| Nuveen | Nuveen Dividend Value Fund Class I | 670678879 | FAQIX | | | .00 | 0.75000 | | SELL ONLY |
| Nuveen | Nuveen Dividend Value Fund Class R6 | 670690130 | FFEFX | | | .00 | 0.65000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Debt Fund A Class | 87245R623 | TEDLX | 4.00 | | .25 | 0.92000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Debt Fund I Class | 87245R318 | TEDHX | | | | 0.69000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Debt Fund Premier Class | 87245R599 | TEDPX | | | .15 | 0.79000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Debt Fund R6 Class | 87245R581 | TEDNX | | | | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Debt Fund Retirement Class | 87245R615 | TEDTX | | | | 0.87000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Fund A Class | 87245M293 | TEMRX | 5.75 | | .25 | 1.27000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Fund I Class | 87245R375 | TEMHX | | | | 0.98000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Fund Premier Class | 87245M277 | TEMPX | | | .15 | 1.05000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Fund R6 Class | 87245M269 | TEMLX | | | | 0.90000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Fund Retirement Class | 87245M285 | TEMSX | | | | 1.15000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|-----------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Emerging Markets Equity Index Fund A Class | 87245M251 | TEQKX | 5.75 | | .25 | 0.49000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Index Fund I Class | 87245M129 | TEQHX | | | | 0.29000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Index Fund Premier Class | 87245M236 | TEQPX | | | .15 | 0.31000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Index Fund R6 Class | 87245M228 | TEQLX | | | | 0.16000 | | SELL ONLY |
| Nuveen | Nuveen Emerging Markets Equity Index Fund Retirement Class | 87245M244 | TEQSX | | | | 0.41000 | | SELL ONLY |
| Nuveen | Nuveen Equity Index Fund A Class | 886315746 | TINRX | 5.75 | | .25 | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Equity Index Fund I Class | 87245R276 | TEIHX | | | | 0.15000 | | SELL ONLY |
| Nuveen | Nuveen Equity Index Fund Premier Class | 87245M525 | TCEPX | | | .15 | 0.20000 | | SELL ONLY |
| Nuveen | Nuveen Equity Index Fund R6 Class | 87244W508 | TIEIX | | | | 0.05000 | | SELL ONLY |
| Nuveen | Nuveen Equity Index Fund Retirement Class | 886315753 | TIQRX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Equity Long/Short Fund Class A | 67065W183 | NELAX | 5.75 | | .25 | 2.42000 | | SELL ONLY |
| Nuveen | Nuveen Equity Long/Short Fund Class C | 67065W175 | NELCX | | 1.00 | 1.00 | 3.17000 | | SELL ONLY |
| Nuveen | Nuveen Equity Long/Short Fund Class I | 67065W167 | NELIX | | | .00 | 2.17000 | | SELL ONLY |
| Nuveen | Nuveen Flexible Income Fund Class A | 670700608 | NWQA X | 4.75 | | .25 | 1.03000 | | BUY,SELL |
| Nuveen | Nuveen Flexible Income Fund Class C | 670700707 | NWQC X | | 1.00 | 1.00 | 1.78000 | | SELL ONLY |
| Nuveen | Nuveen Flexible Income Fund Class I | 670700806 | NWQIX | | | .00 | 0.78000 | | SELL ONLY |
| Nuveen | Nuveen Flexible Income Fund Class R6 | 670700798 | NQWF X | | | .00 | 0.72000 | | SELL ONLY |
| Nuveen | Nuveen Floating Rate Income Fund Class A | 67066D713 | NFRAX | 3.00 | | .25 | 1.03000 | | SELL ONLY |
| Nuveen | Nuveen Floating Rate Income Fund Class C | 67066D697 | NFFCX | | 1.00 | 1.00 | 1.78000 | | SELL ONLY |
| Nuveen | Nuveen Floating Rate Income Fund Class I | 67066D689 | NFRIX | | | .00 | 0.78000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Floating Rate Income Fund Class R6 | 67066D556 | NFRFX | | | .00 | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Georgia Municipal Bond Fund Class C | 67065P717 | FGCCX | | 1.00 | 1.00 | 1.65000 | | SELL ONLY |
| Nuveen | Nuveen Georgia Municipal Bond Fund Class I | 67065P808 | FGARX | | | .00 | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Global Dividend Growth Fund Class A | 670725464 | NUGAX | 5.75 | | .25 | 1.86000 | | BUY,SELL |
| Nuveen | Nuveen Global Dividend Growth Fund Class C | 670725456 | NUGCX | | 1.00 | 1.00 | 2.61000 | | SELL ONLY |
| Nuveen | Nuveen Global Dividend Growth Fund Class I | 670725449 | NUGIX | | | .00 | 1.61000 | | SELL ONLY |
| Nuveen | Nuveen Global Equity Income Fund Class A | 67064Y321 | NQGAX | 5.75 | | .25 | 1.28000 | | SELL ONLY |
| Nuveen | Nuveen Global Equity Income Fund Class C | 67064Y313 | NQGCX | | 1.00 | 1.00 | 2.03000 | | SELL ONLY |
| Nuveen | Nuveen Global Equity Income Fund Class I | 67064Y297 | NQGIX | | | .00 | 1.03000 | | SELL ONLY |
| Nuveen | Nuveen Global Infrastructure Fund Class A | 670690494 | FGIAX | 5.75 | | .25 | 1.30000 | | SELL ONLY |
| Nuveen | Nuveen Global Infrastructure Fund Class C | 670690528 | FGNCX | | 1.00 | 1.00 | 2.05000 | | SELL ONLY |
| Nuveen | Nuveen Global Infrastructure Fund Class I | 670690510 | FGIYX | | | .00 | 1.05000 | | SELL ONLY |
| Nuveen | Nuveen Global Infrastructure Fund Class R6 | 670693852 | FGIWX | | | .00 | 0.98000 | | SELL ONLY |
| Nuveen | Nuveen Global Real Estate Securities Fund Class A | 670700665 | NGJAX | 5.75 | | .25 | 1.83000 | | SELL ONLY |
| Nuveen | Nuveen Global Real Estate Securities Fund Class C | 670700657 | NGJCX | | 1.00 | 1.00 | 2.58000 | | SELL ONLY |
| Nuveen | Nuveen Global Real Estate Securities Fund Class I | 670700640 | NGJIX | | | .00 | 1.58000 | | SELL ONLY |
| Nuveen | Nuveen Global Real Estate Securities Fund Class R6 | 670700632 | NGJFX | | | .00 | 1.49000 | | SELL ONLY |
| Nuveen | Nuveen Green Bond Fund A Class | 87249N842 | TGROX | 3.75 | | .25 | 0.91000 | | SELL ONLY |
| Nuveen | Nuveen Green Bond Fund I Class | 87249N875 | TGRKX | | | | 0.69000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Green Bond Fund Premier Class | 87249N867 | TGRLX | | | .15 | 0.75000 | | SELL ONLY |
| Nuveen | Nuveen Green Bond Fund R6 Class | 87249N883 | TGRNX | | | | 0.60000 | | SELL ONLY |
| Nuveen | Nuveen Green Bond Fund Retirement Class | 87249N859 | TGRMX | | | | 0.85000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Fund A Class | 886315811 | TIYRX | 4.75 | | .25 | 0.67000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Fund I Class | 87245P676 | TIHHX | | | | 0.48000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Fund Premier Class | 87245M467 | TIHPX | | | .15 | 0.52000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Fund R6 Class | 886315795 | TIHYX | | | | 0.37000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Fund Retirement Class | 886315787 | TIHRX | | | | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Income Fund Class A | 67066D754 | NCOAX | 4.75 | | .25 | 1.09000 | | BUY,SELL |
| Nuveen | Nuveen High Yield Income Fund Class C | 67066D747 | NCFCX | | 1.00 | 1.00 | 1.84000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Income Fund Class I | 67066D739 | NCOIX | | | .00 | 0.84000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Income Fund Class R6 | 67066D564 | NCSRX | | | .00 | 0.70000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Municipal Bond Fund Class A | 67065Q749 | NHMAX | 4.20 | | .20 | 2.11000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Municipal Bond Fund Class C | 67065Q624 | NHCCX | | 1.00 | 1.00 | 2.91000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Municipal Bond Fund Class I | 67065Q772 | NHMRX | | | .00 | 1.91000 | | SELL ONLY |
| Nuveen | Nuveen High Yield Municipal Bond Fund Class R6 | 67065Q558 | NHMFY | | | .00 | 1.87000 | | SELL ONLY |
| Nuveen | Nuveen Inflation Linked Bond Fund A Class | 87244W474 | TCILX | 3.75 | | .25 | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen Inflation Linked Bond Fund I Class | 87245P668 | TIHIX | | | | 0.36000 | | SELL ONLY |
| Nuveen | Nuveen Inflation Linked Bond Fund Premier Class | 87245M459 | TIKPX | | | .15 | 0.41000 | | SELL ONLY |
| Nuveen | Nuveen Inflation Linked Bond Fund R6 Class | 87244W482 | TIILX | | | | 0.26000 | | SELL ONLY |
| Nuveen | Nuveen Inflation Linked Bond Fund Retirement Class | 886315696 | TIKRX | | | | 0.51000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Intermediate Duration Municipal Bond Fund Class C | 67065Q640 | NNCCX | | 1.00 | 1.00 | 1.45000 | | SELL ONLY |
| Nuveen | Nuveen Intermediate Duration Municipal Bond Fund Class I | 67065Q400 | NUVBX | | | .00 | 0.45000 | | SELL ONLY |
| Nuveen | Nuveen International Bond Fund A Class | 87245P486 | TIBEX | 4.00 | | .25 | 0.97000 | | SELL ONLY |
| Nuveen | Nuveen International Bond Fund I Class | 87245P528 | TIBNX | | | | 0.73000 | | SELL ONLY |
| Nuveen | Nuveen International Bond Fund Premier Class | 87245P510 | TIBLX | | | .15 | 0.80000 | | SELL ONLY |
| Nuveen | Nuveen International Bond Fund R6 Class | 87245P536 | TIBWX | | | | 0.63000 | | SELL ONLY |
| Nuveen | Nuveen International Bond Fund Retirement Class | 87245P494 | TIBVX | | | | 0.87000 | | SELL ONLY |
| Nuveen | Nuveen International Dividend Growth Fund Class A | 670725423 | NUIAX | 5.75 | | .25 | 4.14000 | | SELL ONLY |
| Nuveen | Nuveen International Dividend Growth Fund Class C | 670725415 | NUICX | | 1.00 | 1.00 | 4.88000 | | SELL ONLY |
| Nuveen | Nuveen International Dividend Growth Fund Class I | 670725399 | NUIIX | | | .00 | 3.89000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Fund A Class | 886315779 | TIERX | 5.75 | | .25 | 0.81000 | | BUY,SELL |
| Nuveen | Nuveen International Equity Fund I Class | 87245R342 | TIEHX | | | | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Fund Premier Class | 87245M582 | TREPX | | | .15 | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Fund R6 Class | 87244W102 | TIIEX | | | | 0.46000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Fund Retirement Class | 87244W748 | TRERX | | | | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Index Fund I Class | 87245M111 | TCIHX | | | | 0.19000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Index Fund Premier Class | 87245M319 | TRIPX | | | .15 | 0.20000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Index Fund R6 Class | 87244W516 | TCIEX | | | | 0.05000 | | SELL ONLY |
| Nuveen | Nuveen International Equity Index Fund Retirement Class | 87244W490 | TRIEX | | | | 0.30000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen International Opportunities Fund A Class | 87245R664 | TIOSX | 5.75 | | .25 | 0.90000 | | BUY,SELL |
| Nuveen | Nuveen International Opportunities Fund I Class | 87245R334 | TIOHX | | | | 0.69000 | | SELL ONLY |
| Nuveen | Nuveen International Opportunities Fund Premier Class | 87245R649 | TIOPX | | | .15 | 0.76000 | | SELL ONLY |
| Nuveen | Nuveen International Opportunities Fund R6 Class | 87245R631 | TIOIX | | | | 0.60000 | | SELL ONLY |
| Nuveen | Nuveen International Opportunities Fund Retirement Class | 87245R656 | TIOTX | | | | 0.85000 | | SELL ONLY |
| Nuveen | Nuveen International Responsible Equity Fund A Class | 87245R516 | TSORX | 5.75 | | .25 | 0.63000 | | SELL ONLY |
| Nuveen | Nuveen International Responsible Equity Fund I Class | 87245R326 | TSOHX | | | | 0.49000 | | SELL ONLY |
| Nuveen | Nuveen International Responsible Equity Fund Premier Class | 87245R482 | TSOPX | | | .15 | 0.50000 | | SELL ONLY |
| Nuveen | Nuveen International Responsible Equity Fund R6 Class | 87245R474 | TSONX | | | | 0.34000 | | SELL ONLY |
| Nuveen | Nuveen International Responsible Equity Fund Retirement Class | 87245R490 | TSOEX | | | | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen International Small Cap Fund Class A | 670713502 | NWAIX | 5.75 | | .25 | 1.67000 | | SELL ONLY |
| Nuveen | Nuveen International Small Cap Fund Class C | 670713601 | NWSCX | | 1.00 | 1.00 | 2.42000 | | SELL ONLY |
| Nuveen | Nuveen International Small Cap Fund Class I | 670713700 | NWPIX | | | .00 | 1.42000 | | SELL ONLY |
| Nuveen | Nuveen International Small Cap Fund Class R6 | 670713809 | NWIFX | | | .00 | 1.33000 | | SELL ONLY |
| Nuveen | Nuveen International Value Fund Class A | 67065W506 | NAIGX | 5.75 | | .25 | 1.33000 | | SELL ONLY |
| Nuveen | Nuveen International Value Fund Class C | 67065W704 | NCIGX | | 1.00 | 1.00 | 2.08000 | | SELL ONLY |
| Nuveen | Nuveen International Value Fund Class I | 67065W803 | NGRRX | | | .00 | 1.08000 | | SELL ONLY |
| Nuveen | Nuveen Kansas Municipal Bond Fund Class C | 67065R671 | FAFOX | | 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 |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Kansas Municipal Bond Fund Class I | 67065R408 | FRKSX | | | .00 | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Kentucky Municipal Bond Fund Class C | 67065R663 | FKCCX | | 1.00 | 1.00 | 1.83000 | | SELL ONLY |
| Nuveen | Nuveen Kentucky Municipal Bond Fund Class I | 67065R804 | FKYRX | | | .00 | 0.83000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Fund A Class | 87244W342 | TIRTX | 5.75 | | .25 | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Fund I Class | 87245R177 | TILHX | | | | 0.50000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Fund Premier Class | 87245M574 | TILPX | | | .15 | 0.57000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Fund R6 Class | 87244W334 | TILGX | | | | 0.41000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Fund Retirement Class | 87244W326 | TILRX | | | | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Index Fund I Class | 87245R292 | TRIHX | | | | 0.16000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Index Fund R6 Class | 87244W680 | TILIX | | | | 0.05000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Growth Index Fund Retirement Class | 87244W672 | TRIRX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Responsible Equity Fund A Class | 886315738 | TICRX | 5.75 | | .25 | 0.46000 | | BUY,SELL |
| Nuveen | Nuveen Large Cap Responsible Equity Fund I Class | 87245R128 | TICHX | | | | 0.27000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Responsible Equity Fund Premier Class | 87245M517 | TRPSX | | | .15 | 0.35000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Responsible Equity Fund R6 Class | 87244W300 | TISCX | | | | 0.18000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Responsible Equity Fund Retirement Class | 87244W755 | TRSCX | | | | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Select Fund Class A | 670690296 | FLRAX | 5.75 | | .25 | 1.37000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Select Fund Class C | 670690312 | FLYCX | | 1.00 | 1.00 | 2.12000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Select Fund Class I | 670690338 | FLRYX | | | .00 | 1.12000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Large Cap Value Fund A Class | 87244W466 | TCLCX | 5.75 | | .25 | 0.72000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Fund I Class | 87245R169 | TRLHX | | | | 0.49000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Fund Premier Class | 87245M566 | TRCPX | | | .15 | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Fund R6 Class | 87244W730 | TRLIX | | | | 0.41000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Fund Retirement Class | 87244W722 | TRLCX | | | | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Index Fund I Class | 87245R284 | THCVX | | | | 0.18000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Index Fund R6 Class | 87244W664 | TILVX | | | | 0.05000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Index Fund Retirement Class | 87244W656 | TRCVX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Opportunities Fund Class A | 67064Y628 | NQCAX | 5.75 | | .25 | 1.56000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Opportunities Fund Class C | 67064Y594 | NQCCX | | 1.00 | 1.00 | 2.31000 | | SELL ONLY |
| Nuveen | Nuveen Large Cap Value Opportunities Fund Class I | 67064Y586 | NQCRX | | | .00 | 1.31000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2010 Fund I Class | 87245P205 | TCLHX | | | | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2010 Fund Premier Class | 87245M434 | TCTPX | | | .15 | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2010 Fund R6 Class | 886315662 | TCTIX | | | | 0.51000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2010 Fund Retirement Class | 87244W458 | TCLEX | | | | 0.76000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2015 Fund I Class | 87245P304 | TCNHX | | | | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2015 Fund Premier Class | 87245M426 | TCFPX | | | .15 | 0.67000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2015 Fund R6 Class | 886315654 | TCNIX | | | | 0.52000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2015 Fund Retirement Class | 87244W441 | TCLIX | | | | 0.77000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2020 Fund I Class | 87245P403 | TCWHX | | | | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2020 Fund Premier Class | 87245M418 | TCWPX | | | .15 | 0.69000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2020 Fund R6 Class | 886315647 | TCWIX | | | | 0.54000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Lifecycle 2020 Fund Retirement Class | 87244W433 | TCLTX | | | | 0.79000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2025 Fund I Class | 87245P502 | TCQHX | | | | 0.63000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2025 Fund Premier Class | 87245M392 | TCQPX | | | .15 | 0.70000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2025 Fund R6 Class | 886315639 | TCYIX | | | | 0.55000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2025 Fund Retirement Class | 87244W425 | TCLFX | | | | 0.80000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2030 Fund I Class | 87245P601 | TCHHX | | | | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2030 Fund Premier Class | 87245M384 | TCHPX | | | .15 | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2030 Fund R6 Class | 886315621 | TCRIX | | | | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2030 Fund Retirement Class | 87244W417 | TCLNX | | | | 0.81000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2035 Fund I Class | 87245P700 | TCYHX | | | | 0.68000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2035 Fund Premier Class | 87245M376 | TCYPX | | | .15 | 0.73000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2035 Fund R6 Class | 886315613 | TCIIX | | | | 0.58000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2035 Fund Retirement Class | 87244W391 | TCLRX | | | | 0.83000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2040 Fund I Class | 87245P809 | TCZHx | | | | 0.70000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2040 Fund Premier Class | 87245M368 | TCZPX | | | .15 | 0.76000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2040 Fund R6 Class | 886315597 | TCOIX | | | | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2040 Fund Retirement Class | 87244W383 | TCLOX | | | | 0.86000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2045 Fund I Class | 87245P882 | TTFHX | | | | 0.70000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2045 Fund Premier Class | 87245M350 | TTFPX | | | .15 | 0.77000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2045 Fund R6 Class | 886315589 | TTFIX | | | | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2045 Fund Retirement Class | 886315522 | TFRX | | | | 0.87000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2050 Fund I Class | 87245P874 | TFTHX | | | | 0.72000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2050 Fund Premier Class | 87245M343 | TCLPX | | | .15 | 0.79000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2050 Fund R6 Class | 886315571 | TFTIX | | | | 0.64000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Lifecycle 2050 Fund Retirement Class | 886315514 | TLFRX | | | | 0.89000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2055 Fund I Class | 87245P866 | TTRHX | | | | 0.73000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2055 Fund Premier Class | 87245M186 | TTRPX | | | .15 | 0.79000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2055 Fund R6 Class | 87245M210 | TTRIX | | | | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2055 Fund Retirement Class | 87245M194 | TTRLX | | | | 0.89000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2060 Fund I Class | 87245P858 | TLXHX | | | | 0.76000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2060 Fund Premier Class | 87245R524 | TLXPX | | | .15 | 0.83000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2060 Fund R6 Class | 87245R573 | TLXNX | | | | 0.68000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle 2060 Fund Retirement Class | 87245R532 | TLXRX | | | | 0.93000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2010 Fund I Class | 87245P833 | TLTHX | | | | 0.31000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2010 Fund Premier Class | 87245M723 | TLTPX | | | .15 | 0.36000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2010 Fund R6 Class | 87245M830 | TLTIX | | | | 0.21000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2010 Fund Retirement Class | 87245M202 | TLTRX | | | | 0.46000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2015 Fund I Class | 87245P825 | TLFAX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2015 Fund Premier Class | 87245M715 | TLFPX | | | .15 | 0.35000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2015 Fund R6 Class | 87245M822 | TLFIX | | | | 0.20000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2015 Fund Retirement Class | 87245M301 | TLGRX | | | | 0.45000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2020 Fund I Class | 87245P817 | TLWHX | | | | 0.29000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2020 Fund Premier Class | 87245M699 | TLWPX | | | .15 | 0.34000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2020 Fund R6 Class | 87245M814 | TLWIX | | | | 0.19000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Lifecycle Index 2020 Fund Retirement Class | 87245M400 | TLWRX | | | | 0.44000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2025 Fund I Class | 87245P791 | TLQHX | | | | 0.28000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2025 Fund Premier Class | 87245M681 | TLVPX | | | .15 | 0.33000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2025 Fund R6 Class | 87245M798 | TLQIX | | | | 0.18000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2025 Fund Retirement Class | 87245M509 | TLQRX | | | | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2030 Fund I Class | 87245P783 | TLHHX | | | | 0.28000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2030 Fund Premier Class | 87245M673 | TLHPX | | | .15 | 0.33000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2030 Fund R6 Class | 87245M780 | TLHIX | | | | 0.18000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2030 Fund Retirement Class | 87245M608 | TLHRX | | | | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2035 Fund I Class | 87245P775 | TLYHX | | | | 0.27000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2035 Fund Premier Class | 87245M665 | TLYPX | | | .15 | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2035 Fund R6 Class | 87245M772 | TLYIX | | | | 0.17000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2035 Fund Retirement Class | 87245M707 | TLYRX | | | | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2040 Fund I Class | 87245P767 | TLZHX | | | | 0.27000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2040 Fund Premier Class | 87245M657 | TLPRX | | | .15 | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2040 Fund R6 Class | 87245M764 | TLZIX | | | | 0.17000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2040 Fund Retirement Class | 87245M806 | TLZRX | | | | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2045 Fund I Class | 87245P759 | TLMHX | | | | 0.27000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Lifecycle Index 2045 Fund Premier Class | 87245M640 | TLMPX | | | .15 | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2045 Fund R6 Class | 87245M756 | TLXIX | | | | 0.17000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2045 Fund Retirement Class | 87245M863 | TLMRX | | | | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2050 Fund I Class | 87245P742 | TLLHX | | | | 0.27000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2050 Fund Premier Class | 87245M632 | TLLPX | | | .15 | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2050 Fund R6 Class | 87245M749 | TLLIX | | | | 0.17000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2050 Fund Retirement Class | 87245M871 | TLLRX | | | | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2055 Fund I Class | 87245P734 | TTIHX | | | | 0.27000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2055 Fund Premier Class | 87245M160 | TTIPX | | | .15 | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2055 Fund R6 Class | 87245M178 | TTIIX | | | | 0.17000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2055 Fund Retirement Class | 87245M152 | TTIRX | | | | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2060 Fund I Class | 87245P726 | TVIHX | | | | 0.28000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2060 Fund Premier Class | 87245R540 | TVIPX | | | .15 | 0.33000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2060 Fund R6 Class | 87245R565 | TVIIX | | | | 0.18000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index 2060 Fund Retirement Class | 87245R557 | TVITX | | | | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index Retirement Income Fund I Class | 87245P841 | TLIHX | | | | 0.32000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index Retirement Income Fund Premier Class | 87245M624 | TLIPX | | | .15 | 0.37000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Index Retirement Income Fund R6 Class | 87245M731 | TRILX | | | | 0.22000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Lifecycle Index Retirement Income Fund Retirement Class | 87245M889 | TRCIX | | | | 0.47000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Retirement Income Fund A Class | 886315498 | TLRRX | 5.75 | | .25 | 0.82000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Retirement Income Fund I Class | 87245P106 | TLRHX | | | | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Retirement Income Fund Premier Class | 87245M335 | TPILX | | | .15 | 0.69000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Retirement Income Fund R6 Class | 886315563 | TLRIX | | | | 0.54000 | | SELL ONLY |
| Nuveen | Nuveen Lifecycle Retirement Income Fund Retirement Class | 886315480 | TLIRX | | | | 0.79000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Aggressive Growth Fund A Class | 87245R755 | TSALX | 5.75 | | .25 | 1.02000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Aggressive Growth Fund I Class | 87245R227 | TSAHX | | | | 0.82000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Aggressive Growth Fund Premier Class | 87245R730 | TSAPX | | | .15 | 0.89000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Aggressive Growth Fund R6 Class | 87245R748 | TSAIX | | | | 0.73000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Aggressive Growth Fund Retirement Class | 87245R722 | TSARX | | | | 0.98000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Conservative Fund A Class | 87245R888 | TSCLX | 5.75 | | .25 | 0.83000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Conservative Fund I Class | 87245R250 | TLSHX | | | | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Conservative Fund Premier Class | 87245R862 | TLSPX | | | .15 | 0.73000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Conservative Fund R6 Class | 87245R870 | TCSIX | | | | 0.56000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Conservative Fund Retirement Class | 87245R854 | TSCTX | | | | 0.81000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Growth Fund A Class | 87245R797 | TSGLX | 5.75 | | .25 | 0.94000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Growth Fund I Class | 87245R235 | TSGHX | | | | 0.75000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Growth Fund Premier Class | 87245R771 | TSGPX | | | .15 | 0.82000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Lifestyle Growth Fund R6 Class | 87245R789 | TSGGX | | | | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Growth Fund Retirement Class | 87245R763 | TSGRX | | | | 0.91000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Income Fund A Class | 87245R508 | TSILX | 5.75 | | .25 | 0.94000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Income Fund I Class | 87245R268 | TSIHX | | | | 0.74000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Income Fund Premier Class | 87245R706 | TSIPX | | | .15 | 0.82000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Income Fund R6 Class | 87245R607 | TSITX | | | | 0.66000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Income Fund Retirement Class | 87245R805 | TLSRX | | | | 0.91000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Moderate Fund A Class | 87245R847 | TSMLX | 5.75 | | .25 | 0.86000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Moderate Fund I Class | 87245R243 | TSMHX | | | | 0.67000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Moderate Fund Premier Class | 87245R821 | TSMPX | | | .15 | 0.75000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Moderate Fund R6 Class | 87245R839 | TSIMX | | | | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen Lifestyle Moderate Fund Retirement Class | 87245R813 | TSMTX | | | | 0.84000 | | SELL ONLY |
| Nuveen | Nuveen Limited Term Municipal Bond Fund Class C | 67065Q632 | FAFJX | | 1.00 | 1.00 | 1.43000 | | SELL ONLY |
| Nuveen | Nuveen Limited Term Municipal Bond Fund Class I | 67065Q822 | FLTRX | | | .00 | 0.43000 | | SELL ONLY |
| Nuveen | Nuveen Louisiana Municipal Bond Fund Class C | 67065P691 | FAFLX | | 1.00 | 1.00 | 1.60000 | | SELL ONLY |
| Nuveen | Nuveen Louisiana Municipal Bond Fund Class I | 67065P857 | FTLRX | | | .00 | 0.60000 | | SELL ONLY |
| Nuveen | Nuveen Managed Allocation Fund A Class | 886315845 | TIMRX | 5.75 | | .25 | 0.76000 | | SELL ONLY |
| Nuveen | Nuveen Managed Allocation Fund R6 Class | 886315837 | TIMIX | | | | 0.47000 | | SELL ONLY |
| Nuveen | Nuveen Managed Allocation Fund Retirement Class | 886315829 | TITRX | | | | 0.72000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Maryland Municipal Bond Fund Class A | 67065L831 | NMDAX | 4.20 | | .20 | 0.80000 | | SELL ONLY |
| Nuveen | Nuveen Maryland Municipal Bond Fund Class C | 67065L617 | NACCX | | 1.00 | 1.00 | 1.60000 | | SELL ONLY |
| Nuveen | Nuveen Maryland Municipal Bond Fund Class I | 67065L799 | NMMDX | | | .00 | 0.60000 | | SELL ONLY |
| Nuveen | Nuveen Massachusetts Municipal Bond Fund Class C | 67065N522 | NAAGX | | 1.00 | 1.00 | 1.59000 | | SELL ONLY |
| Nuveen | Nuveen Massachusetts Municipal Bond Fund Class I | 67065N811 | NBMAX | | | .00 | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen Michigan Municipal Bond Fund Class C | 67065R655 | FAFNX | | 1.00 | 1.00 | 1.64000 | | SELL ONLY |
| Nuveen | Nuveen Michigan Municipal Bond Fund Class I | 67065R820 | NMMIX | | | .00 | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Fund A Class | 87244W870 | TCMGX | 5.75 | | .25 | 0.80000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Fund I Class | 87245R151 | TCMHX | | | | 0.58000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Fund Premier Class | 87245M558 | TRGPX | | | .15 | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Fund R6 Class | 87244W805 | TRPWX | | | | 0.49000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Fund Retirement Class | 87244W888 | TRGMX | | | | 0.74000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Opportunities Fund Class A | 670690718 | FRSLX | 5.75 | | .25 | 1.25000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Opportunities Fund Class I | 670690759 | FISGX | | | .00 | 1.00000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Growth Opportunities Fund Class R6 | 670690114 | FMEFX | | | .00 | 0.91000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Value 1 Fund Class A | 670678853 | FASEX | 5.75 | | .25 | 1.25000 | | BUY,SELL |
| Nuveen | Nuveen Mid Cap Value 1 Fund Class C | 670678333 | FACSX | | 1.00 | 1.00 | 2.00000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Value 1 Fund Class I | 670678663 | FSEIX | | | .00 | 1.00000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Value 1 Fund Class R6 | 670693555 | FMVQX | | | .00 | 0.85000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Value Fund A Class | 87244W847 | TCMVX | 5.75 | | .25 | 0.77000 | | BUY,SELL |
| Nuveen | Nuveen Mid Cap Value Fund I Class | 87245R144 | TRVHX | | | | 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 |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Mid Cap Value Fund Premier Class | 87245M541 | TRVPX | | | .15 | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Value Fund R6 Class | 87244W862 | TIMVX | | | | 0.46000 | | SELL ONLY |
| Nuveen | Nuveen Mid Cap Value Fund Retirement Class | 87244W854 | TRVRX | | | | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Minnesota Intermediate Municipal Bond Fund Class C | 670693100 | NIBCX | | 1.00 | 1.00 | 1.61000 | | SELL ONLY |
| Nuveen | Nuveen Minnesota Intermediate Municipal Bond Fund Class I | 670678689 | FAMTX | | | .00 | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Minnesota Municipal Bond Fund Class C | 670693209 | NTCCX | | 1.00 | 1.00 | 1.59000 | | SELL ONLY |
| Nuveen | Nuveen Minnesota Municipal Bond Fund Class I | 670678192 | FYMNX | | | .00 | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen Missouri Municipal Bond Fund Class C | 67065R648 | FAFPX | | 1.00 | 1.00 | 1.57000 | | SELL ONLY |
| Nuveen | Nuveen Missouri Municipal Bond Fund Class I | 67065R770 | FMMRX | | | .00 | 0.57000 | | SELL ONLY |
| Nuveen | Nuveen Multi Cap Value Fund Class A | 67064Y792 | NQVAX | 5.75 | | .25 | 1.28000 | | SELL ONLY |
| Nuveen | Nuveen Multi Cap Value Fund Class C | 67064Y776 | NQVCX | | 1.00 | 1.00 | 2.03000 | | SELL ONLY |
| Nuveen | Nuveen Multi Cap Value Fund Class I | 67064Y768 | NQVRX | | | .00 | 1.03000 | | SELL ONLY |
| Nuveen | Nuveen Nebraska Municipal Bond Fund Class C | 670693308 | NAAFX | | 1.00 | 1.00 | 1.69000 | | SELL ONLY |
| Nuveen | Nuveen Nebraska Municipal Bond Fund Class I | 670678523 | FNTYX | | | .00 | 0.69000 | | SELL ONLY |
| Nuveen | Nuveen New Jersey Municipal Bond Fund Class C | 67065N514 | NJCCX | | 1.00 | 1.00 | 1.62000 | | SELL ONLY |
| Nuveen | Nuveen New Jersey Municipal Bond Fund Class I | 67065N720 | NMNJX | | | .00 | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen New Mexico Municipal Bond Fund Class C | 67065L591 | FNCCX | | 1.00 | 1.00 | 1.67000 | | SELL ONLY |
| Nuveen | Nuveen New Mexico Municipal Bond Fund Class I | 67065L757 | FNMRX | | | .00 | 0.67000 | | SELL ONLY |
| Nuveen | Nuveen New York Municipal Bond Fund Class C | 67065N498 | NAJPX | | 1.00 | 1.00 | 1.56000 | | SELL ONLY |
| Nuveen | Nuveen New York Municipal Bond Fund Class I | 67065N647 | NTNYX | | | .00 | 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 |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen North Carolina Municipal Bond Fund Class C | 67065P683 | FDCCX | | 1.00 | 1.00 | 1.61000 | | SELL ONLY |
| Nuveen | Nuveen North Carolina Municipal Bond Fund Class I | 67065P816 | FCNRX | | | .00 | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Ohio Municipal Bond Fund Class C | 67065R630 | FAFMX | | 1.00 | 1.00 | 1.57000 | | SELL ONLY |
| Nuveen | Nuveen Ohio Municipal Bond Fund Class I | 67065R739 | NXOHX | | | .00 | 0.57000 | | SELL ONLY |
| Nuveen | Nuveen Oregon Intermediate Municipal Bond Fund Class C | 670693407 | NAFOX | | 1.00 | 1.00 | 1.63000 | | SELL ONLY |
| Nuveen | Nuveen Oregon Intermediate Municipal Bond Fund Class I | 670678408 | FORCX | | | .00 | 0.63000 | | SELL ONLY |
| Nuveen | Nuveen Pennsylvania Municipal Bond Fund Class C | 67065L583 | FPCCX | | 1.00 | 1.00 | 1.60000 | | SELL ONLY |
| Nuveen | Nuveen Pennsylvania Municipal Bond Fund Class I | 67065L716 | NBPAX | | | .00 | 0.60000 | | SELL ONLY |
| Nuveen | Nuveen Preferred Securities & Income Fund Class A | 670700103 | NPSAX | 4.75 | | .25 | 1.01000 | | BUY,SELL |
| Nuveen | Nuveen Preferred Securities & Income Fund Class C | 670700301 | NPSCX | | 1.00 | 1.00 | 1.76000 | | SELL ONLY |
| Nuveen | Nuveen Preferred Securities & Income Fund Class I | 670700400 | NPSRX | | | .00 | 0.76000 | | SELL ONLY |
| Nuveen | Nuveen Preferred Securities & Income Fund Class R6 | 670700814 | NPSFX | | | .00 | 0.69000 | | SELL ONLY |
| Nuveen | Nuveen Quant International Small Cap Equity Fund A Class | 87245P437 | TLISX | 5.75 | | .25 | 1.16000 | | SELL ONLY |
| Nuveen | Nuveen Quant International Small Cap Equity Fund I Class | 87245P460 | TAISX | | | | 0.82000 | | SELL ONLY |
| Nuveen | Nuveen Quant International Small Cap Equity Fund Premier Class | 87245P452 | TPISX | | | .15 | 0.93000 | | SELL ONLY |
| Nuveen | Nuveen Quant International Small Cap Equity Fund R6 Class | 87245P478 | TIISX | | | | 0.74000 | | SELL ONLY |
| Nuveen | Nuveen Quant International Small Cap Equity Fund Retirement Class | 87245P445 | TTISX | | | | 0.99000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small Cap Equity Fund A Class | 87244W813 | TCSEX | 5.75 | | .25 | 0.72000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Quant Small Cap Equity Fund I Class | 87245R136 | TSCHX | | | | 0.50000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small Cap Equity Fund Premier Class | 87245M533 | TSRPX | | | .15 | 0.57000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small Cap Equity Fund R6 Class | 87244W839 | TISEX | | | | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small Cap Equity Fund Retirement Class | 87244W821 | TRSEX | | | | 0.67000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small/Mid Cap Equity Fund A Class | 87245P544 | TSMEX | 5.75 | | .25 | 0.79000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small/Mid Cap Equity Fund I Class | 87245P577 | TSMNX | | | | 0.59000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small/Mid Cap Equity Fund Premier Class | 87245P569 | TSMMX | | | .15 | 0.64000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small/Mid Cap Equity Fund R6 Class | 87245P585 | TSMWX | | | | 0.47000 | | SELL ONLY |
| Nuveen | Nuveen Quant Small/Mid Cap Equity Fund Retirement Class | 87245P551 | TSMOX | | | | 0.72000 | | SELL ONLY |
| Nuveen | Nuveen Real Asset Income Fund Class A | 670690171 | NRIAX | 5.75 | | .25 | 1.18000 | | BUY,SELL |
| Nuveen | Nuveen Real Asset Income Fund Class C | 670690163 | NRICX | | 1.00 | 1.00 | 1.93000 | | SELL ONLY |
| Nuveen | Nuveen Real Asset Income Fund Class I | 670690155 | NRIIX | | | .00 | 0.93000 | | SELL ONLY |
| Nuveen | Nuveen Real Asset Income Fund Class R6 | 670693860 | NRIFX | | | .00 | 0.83000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Fund Class A | 670678705 | FREAX | 5.75 | | .25 | 1.22000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Fund Class C | 670678473 | FRLCX | | 1.00 | 1.00 | 1.97000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Fund Class I | 670678507 | FARCX | | | .00 | 0.97000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Fund Class R6 | 670678119 | FREGX | | | .00 | 0.84000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Select Fund A Class | 87244W771 | TCREX | 5.75 | | .25 | 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 |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Real Estate Securities Select Fund I Class | 87245P593 | TIRHX | | | | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Select Fund Premier Class | 87245M327 | TRRPX | | | .15 | 0.65000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Select Fund R6 Class | 87244W797 | TIREX | | | | 0.50000 | | SELL ONLY |
| Nuveen | Nuveen Real Estate Securities Select Fund Retirement Class | 87244W789 | TRRSX | | | | 0.75000 | | SELL ONLY |
| Nuveen | Nuveen S&P 500 Index Fund I Class | 87245M145 | TISAX | | | | 0.18000 | | SELL ONLY |
| Nuveen | Nuveen S&P 500 Index Fund R6 Class | 87244W714 | TISPX | | | | 0.05000 | | SELL ONLY |
| Nuveen | Nuveen S&P 500 Index Fund Retirement Class | 87244W698 | TRSPX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration High Yield Municipal Bond Fund Class C | 67065Q616 | NVCCX | | 1.00 | 1.00 | 1.87000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration High Yield Municipal Bond Fund Class I | 67065Q699 | NVHIX | | | .00 | 0.87000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration Impact Bond Fund A Class | 87249N784 | TSDBX | 2.50 | | .25 | 0.93000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration Impact Bond Fund I Class | 87249N826 | TSDHX | | | | 0.75000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration Impact Bond Fund Premier Class | 87249N818 | TSDFX | | | .15 | 0.80000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration Impact Bond Fund R6 Class | 87249N834 | TSDJX | | | | 0.65000 | | SELL ONLY |
| Nuveen | Nuveen Short Duration Impact Bond Fund Retirement Class | 87249N792 | TSDDX | | | | 0.90000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Fund A Class | 886315704 | TCTRX | 2.50 | | .25 | 0.58000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Fund I Class | 87245P650 | TCTHX | | | | 0.36000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Fund Premier Class | 87245M475 | TSTPX | | | .15 | 0.42000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Fund R6 Class | 886315803 | TISIX | | | | 0.27000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Fund Retirement Class | 886315886 | TISRX | | | | 0.52000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Index Fund A Class | 87245R466 | TRSHX | 2.50 | | .25 | 0.42000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Short Term Bond Index Fund I Class | 87245P643 | TTBHX | | | | 0.20000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Index Fund Premier Class | 87245R441 | TPSHX | | | .15 | 0.24000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Index Fund R6 Class | 87245R433 | TNSHX | | | | 0.08000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Bond Index Fund Retirement Class | 87245R458 | TESHX | | | | 0.33000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Municipal Bond Fund Class C | 670693506 | NAAEX | | 1.00 | 1.00 | 1.50000 | | SELL ONLY |
| Nuveen | Nuveen Short Term Municipal Bond Fund Class I | 670690486 | FSHYX | | | .00 | 0.50000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Blend Index Fund I Class | 87245M137 | TRHBX | | | | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Blend Index Fund R6 Class | 87244W573 | TISBX | | | | 0.05000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Blend Index Fund Retirement Class | 87244W565 | TRBIX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Growth Opportunities Fund Class A | 670690767 | FRMPX | 5.75 | | .25 | 1.36000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Growth Opportunities Fund Class I | 670690817 | FIMPX | | | .00 | 1.11000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Growth Opportunities Fund Class R6 | 670693845 | FMPFX | | | .00 | 0.96000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Select Fund Class A | 670690833 | EMGRX | 5.75 | | .25 | 1.41000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Select Fund Class I | 670690874 | ARSTX | | | .00 | 1.16000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Select Fund Class R6 | 670693563 | ASEFX | | | .00 | 1.03000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Value Fund Class A | 670678309 | FSCAX | 5.75 | | .25 | 1.28000 | | BUY,SELL |
| Nuveen | Nuveen Small Cap Value Fund Class C | 670678341 | FSCVX | | 1.00 | 1.00 | 2.03000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Value Fund Class I | 670678200 | FSCCX | | | .00 | 1.03000 | | SELL ONLY |
| Nuveen | Nuveen Small Cap Value Fund Class R6 | 670693837 | FSCWX | | | .00 | 0.87000 | | SELL ONLY |
| Nuveen | Nuveen Small/Mid Cap Value Fund Class A | 67064Y578 | NSMAX | 5.75 | | .25 | 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 |
|-------------|--|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Small/Mid Cap Value Fund Class C | 67064Y552 | NSMCX | | 1.00 | 1.00 | 2.16000 | | SELL ONLY |
| Nuveen | Nuveen Small/Mid Cap Value Fund Class I | 67064Y545 | NSMRX | | | .00 | 1.16000 | | SELL ONLY |
| Nuveen | Nuveen Small/Mid Cap Value Fund Class R6 | 670729466 | NWQFX | | | .00 | 1.06000 | | SELL ONLY |
| Nuveen | Nuveen Small-Cap Value Opportunities Fund Class A | 67064Y750 | NSCAX | 5.75 | | .25 | 1.31000 | | SELL ONLY |
| Nuveen | Nuveen Small-Cap Value Opportunities Fund Class C | 67064Y735 | NSCCX | | 1.00 | 1.00 | 2.06000 | | SELL ONLY |
| Nuveen | Nuveen Small-Cap Value Opportunities Fund Class I | 67064Y727 | NSCRX | | | .00 | 1.06000 | | SELL ONLY |
| Nuveen | Nuveen Small-Cap Value Opportunities Fund Class R6 | 670729847 | NSCFX | | | .00 | 0.93000 | | SELL ONLY |
| Nuveen | Nuveen Social Choice Low Carbon Equity Fund A Class | 87245R425 | TLWCX | 5.75 | | .25 | 0.58000 | | SELL ONLY |
| Nuveen | Nuveen Social Choice Low Carbon Equity Fund I Class | 87245R110 | TCCHX | | | | 0.40000 | | SELL ONLY |
| Nuveen | Nuveen Social Choice Low Carbon Equity Fund Premier Class | 87245R391 | TPWCX | | | .15 | 0.45000 | | SELL ONLY |
| Nuveen | Nuveen Social Choice Low Carbon Equity Fund R6 Class | 87245R383 | TNWCX | | | | 0.30000 | | SELL ONLY |
| Nuveen | Nuveen Social Choice Low Carbon Equity Fund Retirement Class | 87245R417 | TEWCX | | | | 0.55000 | | SELL ONLY |
| Nuveen | Nuveen Strategic Income Fund Class A | 670678366 | FCDDX | 4.25 | | .25 | 0.96000 | | BUY,SELL |
| Nuveen | Nuveen Strategic Income Fund Class C | 670678382 | FCBCX | | 1.00 | 1.00 | 1.71000 | | SELL ONLY |
| Nuveen | Nuveen Strategic Income Fund Class I | 670678390 | FCBYX | | | .00 | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Strategic Income Fund Class R6 | 670693878 | FSFRX | | | .00 | 0.62000 | | SELL ONLY |
| Nuveen | Nuveen Strategic Municipal Opportunities Fund Class A | 67065Q590 | NSAOX | 3.00 | | .20 | 0.81000 | | SELL ONLY |
| Nuveen | Nuveen Strategic Municipal Opportunities Fund Class C | 67065Q582 | NSCOX | | 1.00 | 1.00 | 1.61000 | | SELL ONLY |
| Nuveen | Nuveen Strategic Municipal Opportunities Fund Class I | 67065Q574 | NSIOX | | | .00 | 0.61000 | | SELL ONLY |
| Nuveen | Nuveen Virginia Municipal Bond Fund Class C | 67065L575 | FVCCX | | 1.00 | 1.00 | 1.58000 | | SELL ONLY |

| Fund Family | Fund Name | CUSIP | Ticker | Front End Load | CDSC | 12b-1 Fees | Gross Expense Ratio | Redemption Fee | Buy/Sell Eligible |
|-------------|---|-----------|--------|----------------|------|------------|---------------------|----------------|-------------------|
| Nuveen | Nuveen Virginia Municipal Bond Fund Class I | 67065L666 | NMVAX | | | .00 | 0.58000 | | SELL ONLY |
| Nuveen | Nuveen Winslow Large-Cap Growth ESG Fund Class A | 670725688 | NWCA X | 5.75 | | .25 | 1.11000 | | BUY,SELL |
| Nuveen | Nuveen Winslow Large-Cap Growth ESG Fund Class C | 670725670 | NWCC X | | 1.00 | 1.00 | 1.86000 | | SELL ONLY |
| Nuveen | Nuveen Winslow Large-Cap Growth ESG Fund Class I | 670725662 | NVLIX | | | .00 | 0.86000 | | SELL ONLY |
| Nuveen | Nuveen Winslow Large-Cap Growth ESG Fund Class R6 | 670725373 | NWCFX | | | .00 | 0.71000 | | SELL ONLY |
| Nuveen | Nuveen Wisconsin Municipal Bond Fund Class A | 67065R721 | FWIAX | 4.20 | | .20 | 1.10000 | | SELL ONLY |
| Nuveen | Nuveen Wisconsin Municipal Bond Fund Class C | 67065R622 | FWCCX | | 1.00 | 1.00 | 1.90000 | | SELL ONLY |
| Nuveen | Nuveen Wisconsin Municipal Bond Fund Class I | 67065R689 | FWIRX | | | .00 | 0.90000 | | SELL ONLY |