

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Oakmark	Oakmark Bond Fund Advisor Class	413838640	OAYCX				1.12000		SELL ONLY
Oakmark	Oakmark Bond Fund Institutional Class	413838632	OANCX				1.08000		SELL ONLY
Oakmark	Oakmark Bond Fund Investor Class	413838483	OAKCX				1.33000		SELL ONLY
Oakmark	Oakmark Bond Fund R6 Class	413838541	OAZCX				1.02000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund Class Advisor	413838772	OAYBX				0.61000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund Class Institutional	413838764	OANBX				0.59000		SELL ONLY
Oakmark	Oakmark Equity And Income Fund Investor Class	413838400	OAKBX				0.86000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund R6 Class	413838558	OAZBX				0.56000		SELL ONLY
Oakmark	Oakmark Fund Advisor Class	413838798	OAYMX				0.70000		SELL ONLY
Oakmark	Oakmark Fund Institutional Class	413838780	OANMX				0.68000		SELL ONLY
Oakmark	Oakmark Fund Investor Class	413838103	OAKMX				0.91000		SELL ONLY
Oakmark	Oakmark Fund R6 Class	413838624	OAZMX				0.63000		SELL ONLY
Oakmark	Oakmark Global Fund Class Advisor	413838681	OAYGX				0.94000		SELL ONLY
Oakmark	Oakmark Global Fund Class Institutional	413838673	OANGX				0.90000		SELL ONLY
Oakmark	Oakmark Global Fund Investor Class	413838830	OAKGX				1.13000		SELL ONLY
Oakmark	Oakmark Global Fund R6 Class	413838590	OAZGX				0.87000		SELL ONLY
Oakmark	Oakmark Global Select Fund Class Advisor	413838756	OAYW X				0.97000		SELL ONLY
Oakmark	Oakmark Global Select Fund Class Institutional	413838749	OANW X				0.90000		SELL ONLY
Oakmark	Oakmark Global Select Fund Investor Class	413838822	OAKW X				1.14000		SELL ONLY
Oakmark	Oakmark Global Select Fund R6 Class	413838582	OAZWX				0.85000		SELL ONLY
Oakmark	Oakmark International Fund Class Advisor	413838731	OAYIX				0.88000		SELL ONLY
Oakmark	Oakmark International Fund Class Institutional	413838723	OANIX				0.81000		SELL ONLY

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Oakmark	Oakmark International Fund Investor Class	413838202	OAKIX				1.05000		SELL ONLY
Oakmark	Oakmark International Fund R6 Class	413838574	OAZIX				0.75000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Class Advisor	413838665	OAYEX				1.18000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Class Institutional	413838657	OANEX				1.10000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Investor Class	413838509	OAKEX				1.34000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund R6 Class	413838566	OAZEX				1.07000		SELL ONLY
Oakmark	Oakmark Select Fund Class Advisor	413838715	OAYLX				0.88000		SELL ONLY
Oakmark	Oakmark Select Fund Class Institutional	413838699	OANLX				0.78000		SELL ONLY
Oakmark	Oakmark Select Fund Investor Class	413838608	OAKLX				1.00000		SELL ONLY
Oakmark	Oakmark Select Fund R6 Class	413838616	OAZLX				0.74000		SELL ONLY
Parnassus	Parnassus Core Equity Fund - Institutional Shares	701769408	PRILX				0.62000		SELL ONLY
Parnassus	Parnassus Core Equity Fund - Investor Shares	701769101	PRBLX				0.82000		SELL ONLY
Parnassus	Parnassus Fixed Income Fund	701769200	PRFIX				0.81000		SELL ONLY
Parnassus	Parnassus Fixed Income Fund Institutional Shares	701765703	PFPLX				0.61000		SELL ONLY
Parnassus	Parnassus Mid Cap Fund	701765885	PARMX				0.98000		SELL ONLY
Parnassus	Parnassus Mid Cap Fund Institutional Shares	701765505	PFPMX				0.76000		SELL ONLY
Parnassus	Parnassus Mid Cap Growth Fund - Institutional	701765307	PFPRX				0.71000		SELL ONLY
Parnassus	Parnassus Mid Cap Growth Fund - Investor	701765109	PARNX				0.81000		SELL ONLY
Parnassus	Parnassus Value Equity Fund Institutional Shares	701765406	PFPWX				0.72000		SELL ONLY
Parnassus	Parnassus Value Equity Fund Investor Shares	701765869	PARWX				0.93000		SELL ONLY
Pear Tree Funds	Pear Tree Essex Environmental Opportunities Fund Institutional Shares	70472Q716	GEOSX				1.25000		SELL ONLY

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Pear Tree Funds	Pear Tree Polaris Foreign Value Fund Class Institutional	70472Q807	QFVIX				1.26000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Fund Class Ordinary	70472Q708	QFVOX			.25	1.51000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Fund Class R6	70472Q773	QFVRX				1.11000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Small Cap Fund Class R6	70472Q765	QUSRX				1.12000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Small Cap Fund Institutional Class	70472Q500	QUSIX				1.27000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Foreign Value Small Cap Fund Ordinary Class	70472Q609	QUSOX			.25	1.52000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportunities Fund Institutional Shares	70472Q740	QISIX				1.16000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportunities Fund Ordinary Shares	70472Q757	QISOX			.25	1.57000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportunities Fund R6 Shares	70472Q732	QISRX				1.09000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Small Cap Fund Institutional Class	70472Q302	QBNAX				1.21000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Small Cap Fund Ordinary Class	70472Q401	USBNX			.25	1.45000		SELL ONLY
Pear Tree Funds	Pear Tree Quality Fund Institutional Shares	70472Q104	QGIAIX				1.27000		SELL ONLY
Pear Tree Funds	Pear Tree Quality Fund Ordinary Shares	70472Q203	USBOX			.25	1.52000		SELL ONLY
PGIM Investments	PGIM 60/40 Allocation Fund-Class R6	74440V724	PALDX				0.55000		SELL ONLY
PGIM Investments	PGIM Absolute Return Bond Fund- Class A	74441J852	PADAX	3.25		.25	0.98000		BUY,SELL
PGIM Investments	PGIM Absolute Return Bond Fund- Class C	74441J845	PADCX		1.00	1.00	1.78000		SELL ONLY
PGIM Investments	PGIM Absolute Return Bond Fund- Class R6	74441J837	PADQX				0.65000		SELL ONLY
PGIM Investments	PGIM Absolute Return Bond Fund- Class Z	74441J829	PADZX				0.74000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class A	74437E883	PIBAX	3.25		.30	1.15000		BUY,SELL
PGIM Investments	PGIM Balanced Fund- Class C	74437E867	PABCX		1.00	1.00	1.88000		SELL ONLY

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PGIM Investments	PGIM Balanced Fund- Class R	74437E636	PALRX			.75	7.12000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class R6	74437E461	PIBQX				0.73000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class Z	74437E859	PABFX				0.85000		SELL ONLY
PGIM Investments	PGIM California Muni Income Fund-Class C	74440X308	PCICX		1.00	1.00	1.62000		SELL ONLY
PGIM Investments	PGIM California Muni Income Fund-Class R6	74440X605	PCIQX				0.51000		SELL ONLY
PGIM Investments	PGIM California Muni Income Fund-Class Z	74440X407	PCIZX				0.56000		SELL ONLY
PGIM Investments	PGIM Core Bond Fund- Class A	875921769	TPCAX	3.25		.25	0.68000		BUY,SELL
PGIM Investments	PGIM Core Bond Fund- Class C	875921751	TPCCX		1.00	1.00	1.74000		SELL ONLY
PGIM Investments	PGIM Core Bond Fund- Class R	875921736	TPCRX			.75	39.10000		SELL ONLY
PGIM Investments	PGIM Core Bond Fund- Class R6	875921744	TPCQX				0.35000		SELL ONLY
PGIM Investments	PGIM Core Bond Fund- Class Z	875921801	TAIBX				0.47000		SELL ONLY
PGIM Investments	PGIM Corporate Bond Fund- Class A	875921694	PCWAX	3.25		.25	1.56000		SELL ONLY
PGIM Investments	PGIM Corporate Bond Fund- Class C	875921686	PCWCX		1.00	1.00	2.94000		SELL ONLY
PGIM Investments	PGIM Corporate Bond Fund- Class R	875921660	PCWRX			.75	46.23000		SELL ONLY
PGIM Investments	PGIM Corporate Bond Fund- Class R6	875921678	PCWQX				1.13000		SELL ONLY
PGIM Investments	PGIM Corporate Bond Fund- Class Z	875921702	TGMBX				1.31000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Hard Currency Fund-Class A	743969479	PDHAX	3.25		.25	8.74000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Hard Currency Fund-Class C	743969461	PDHCX		1.00	1.00	63.23000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Hard Currency Fund-Class R6	743969453	PDHQX				0.78000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Hard Currency Fund-Class Z	743969446	PDHVX				1.03000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class A	743969750	EMDAX	3.25		.25	2.02000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class C	743969743	EMDCX		1.00	1.00	8.97000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class R6	743969735	EMDQX				1.52000		SELL ONLY

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PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class Z	743969727	EMDZX				1.25000		SELL ONLY
PGIM Investments	PGIM ESG High Yield Fund Class A	74442J802	PGANX	3.25		.25	31.61000		SELL ONLY
PGIM Investments	PGIM ESG High Yield Fund Class C	74442J885	PGAUX		1.00	1.00	80.48000		SELL ONLY
PGIM Investments	PGIM ESG High Yield Fund Class R6	74442J869	PGAQX				1.36000		SELL ONLY
PGIM Investments	PGIM ESG High Yield Fund Class Z	74442J877	PGAVX				4.30000		SELL ONLY
PGIM Investments	PGIM ESG Short Duration Multi-Sector Bond Fund A	74440B744	PGIGX	2.25		.25	5.86000		SELL ONLY
PGIM Investments	PGIM ESG Short Duration Multi-Sector Bond Fund C	74440B736	PGIJX		1.00	1.00	64.71000		SELL ONLY
PGIM Investments	PGIM ESG Short Duration Multi-Sector Bond Fund R6	74440B710	PGIPX				1.20000		SELL ONLY
PGIM Investments	PGIM ESG Short Duration Multi-Sector Bond Fund Z	74440B728	PGIKX				11.29000		SELL ONLY
PGIM Investments	PGIM ESG Total Return Bond Fund Class A	74440B785	PAIWX	3.25		.25	13.26000		SELL ONLY
PGIM Investments	PGIM ESG Total Return Bond Fund Class C	74440B777	PAIYX		1.00	1.00	58.98000		SELL ONLY
PGIM Investments	PGIM ESG Total Return Bond Fund Class R6	74440B751	PAJBX				1.37000		SELL ONLY
PGIM Investments	PGIM ESG Total Return Bond Fund Class Z	74440B769	PAIZX				4.21000		SELL ONLY
PGIM Investments	PGIM Floating Rate Income Fund- Class A	74439V602	FRFAX	2.25		.25	1.09000		BUY,SELL
PGIM Investments	PGIM Floating Rate Income Fund- Class C	74439V701	FRFCX		1.00	1.00	1.87000		SELL ONLY
PGIM Investments	PGIM Floating Rate Income Fund- Class R6	74439V883	PFRIX				0.76000		SELL ONLY
PGIM Investments	PGIM Floating Rate Income Fund- Class Z	74439V800	FRFZX				0.86000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class A	744336108	PURAX	5.50		.30	1.36000		BUY,SELL
PGIM Investments	PGIM Global Real Estate Fund- Class C	744336306	PURCX		1.00	1.00	2.18000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R	744336405	PURRX			.75	1.80000		SELL ONLY

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PGIM Investments	PGIM Global Real Estate Fund- Class R2	744336678	PUREX			.25	1.51000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R4	744336660	PURGX				1.62000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R6	744336876	PGRQX				0.81000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class Z	744336504	PURZX				0.95000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class A	74439A707	PHEAX	3.25		.25	2.75000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class C	74439A806	PHECX		1.00	1.00	12.13000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class R6	74439A889	PHEQX				0.79000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class Z	74439A871	PHEZX				1.02000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class A	74439A103	GTRAX	3.25		.25	0.98000		BUY,SELL
PGIM Investments	PGIM Global Total Return Fund - Class C	74439A301	PCTRX		1.00	1.00	1.73000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class R2	74439A863	PGTOX			.25	1.26000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class R4	74439A855	PGTSX				0.86000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class R6	74439A509	PGTQX				0.54000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class Z	74439A400	PZTRX				0.67000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class A	74439V107	PGVAX	3.25		.25	1.11000		BUY,SELL
PGIM Investments	PGIM Government Income Fund- Class C	74439V305	PRICX		1.00	1.00	2.00000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class R	74439V503	JDRVX			.75	1.55000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class R6	74439V875	PGIQX				0.55000		SELL ONLY

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PGIM Investments	PGIM Government Income Fund- Class Z	74439V404	PGVZX				0.66000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class A	74440Y108	PBHAX	3.25		.25	0.75000		BUY,SELL
PGIM Investments	PGIM High Yield Fund- Class C	74440Y306	PRHCX		1.00	1.00	1.47000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class R	74440Y603	JDYRX			.75	1.31000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class R2	74442J604	PHYEX			.25	0.92000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class R4	74442J703	PHYGX				0.67000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class R6	74440Y884	PHYQX				0.38000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class Z	74440Y801	PHYZX				0.51000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class A	74442X108	PCGAX	4.50		.30	2.05000		BUY,SELL
PGIM Investments	PGIM Income Builder Fund-Class C	74442X306	PCCFX		1.00	1.00	2.74000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class R	74442X405	PCLRX			.75	3.32000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class R6	74442X769	PCGQX				1.78000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class Z	74442X504	PDCZX				1.72000		SELL ONLY
PGIM Investments	PGIM Jennison Blend Fund- Class A	74441T108	PBQAX	5.50		.30	0.97000		BUY,SELL
PGIM Investments	PGIM Jennison Blend Fund- Class C	74441T306	PRECX		1.00	1.00	1.98000		SELL ONLY
PGIM Investments	PGIM Jennison Blend Fund- Class R6	74441T603	PBQQX				2.09000		SELL ONLY
PGIM Investments	PGIM Jennison Blend Fund- Class Z	74441T405	PEQZX				0.66000		SELL ONLY
PGIM Investments	PGIM Jennison Diversified Growth Fund- Class A	74440V104	TBDAX	5.50		.30	1.26000		BUY,SELL
PGIM Investments	PGIM Jennison Diversified Growth Fund- Class C	74440V302	TBDCX		1.00	1.00	2.37000		SELL ONLY
PGIM Investments	PGIM Jennison Diversified Growth Fund- Class R6	74440V716	TBDQX				1.68000		SELL ONLY
PGIM Investments	PGIM Jennison Diversified Growth Fund- Class Z	74440V690	TBDZX				1.08000		SELL ONLY
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class A	743969644	PDEAX	5.50		.30	1.56000		BUY,SELL
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class C	743969636	PDECX		1.00	1.00	2.66000		SELL ONLY
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class R6	743969628	PDEQX				1.06000		SELL ONLY
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class Z	743969610	PDEZX				1.20000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund- Class A	74441P106	PFSAX	5.50		.30	1.38000		SELL ONLY

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PGIM Investments	PGIM Jennison Financial Services Fund-Class C	74441P304	PUFCX		1.00	1.00	2.17000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class R	74441P783	PSSRX			.75	1.88000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class R6	74441P734	PFSQX				1.60000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class Z	74441P403	PFSZX				1.09000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Growth Fund-Class A	74440K504	SPFAX	5.50		.30	1.14000		BUY,SELL
PGIM Investments	PGIM Jennison Focused Growth Fund-Class C	74440K702	SPFCX		1.00	1.00	1.87000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Growth Fund-Class R6	74440K751	PSGQX				0.71000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Growth Fund-Class Z	74440K868	SPFZX				0.80000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class A	74437E503	PJIAX	5.50		.30	1.17000		BUY,SELL
PGIM Investments	PGIM Jennison Focused Value Fund-Class C	74437E701	PJGCX		1.00	1.00	2.27000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class R	74437E644	PJORX			.75	3.21000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class R6	74437E552	PJOQX				0.90000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class Z	74437E800	PJGZX				0.86000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class A	74441L808	SPQAX	5.50		.30	1.22000		BUY,SELL
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class C	74441L873	AGOCX		1.00	1.00	2.04000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class R	74441L790	PJERX			.75	1.72000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class R6	74441L816	PJIQX				0.85000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class Z	74441L832	JDEZX				0.89000		SELL ONLY

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PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class A	743969792	PGJAX	5.50		.30	1.93000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class C	743969784	PGJCX		1.00	1.00	2.72000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class R6	743969560	PGJQX				1.38000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class Z	743969776	PGJZX				1.52000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class A	743969719	PRJAX	5.50		.30	1.22000		BUY,SELL
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class C	743969693	PRJCX		1.00	1.00	1.94000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class R2	743969438	PRJBX			.25	1.37000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class R4	743969420	PRJDX				2.48000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class R6	743969594	PRJQX				0.83000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class Z	743969685	PRJZX				0.93000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class A	74437E107	PJFAX	5.50		.30	1.01000		BUY,SELL
PGIM Investments	PGIM Jennison Growth Fund- Class C	74437E305	PJFCX		1.00	1.00	1.71000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R	74437E651	PJGRX			.75	1.47000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R2	74437E420	PJFOX			.25	1.34000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R4	74437E412	PJFPX				0.87000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R6	74437E479	PJFQX				0.58000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class Z	74437E404	PJFZX				0.69000		SELL ONLY
PGIM Investments	PGIM Jennison Health Sciences Fund-Class A	74441P502	PHLAX	5.50		.30	1.15000		SELL ONLY
PGIM Investments	PGIM Jennison Health Sciences Fund-Class C	74441P700	PHLCX		1.00	1.00	1.98000		SELL ONLY
PGIM Investments	PGIM Jennison Health Sciences Fund-Class R	74441P791	PJHRX			.75	1.73000		SELL ONLY
PGIM Investments	PGIM Jennison Health Sciences Fund-Class R6	74441P775	PHLQX				0.77000		SELL ONLY
PGIM Investments	PGIM Jennison Health Sciences Fund-Class Z	74441P866	PHSZX				0.86000		SELL ONLY

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PGIM Investments	PGIM Jennison International Opportunities Fund- Class A	743969677	PWJAX	5.50		.30	1.26000		BUY,SELL
PGIM Investments	PGIM Jennison International Opportunities Fund- Class C	743969669	PWJCX		1.00	1.00	1.99000		SELL ONLY
PGIM Investments	PGIM Jennison International Opportunities Fund- Class R	743969487	PWJRX			.75	1.71000		SELL ONLY
PGIM Investments	PGIM Jennison International Opportunities Fund- Class R6	743969586	PWJQX				0.84000		SELL ONLY
PGIM Investments	PGIM Jennison International Opportunities Fund- Class Z	743969651	PWJZX				0.95000		SELL ONLY
PGIM Investments	PGIM Jennison International Opportunities Fund-Class R2	743969412	PWJBX			.25	1.38000		SELL ONLY
PGIM Investments	PGIM Jennison International Opportunities Fund-Class R4	743969396	PWJDX				1.15000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class A	744336561	PAHWX	5.50		.25	11.70000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class C	744336553	PAILX		1.00	1.00	41.09000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class R6	744336538	PAIOX				5.77000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class Z	744336546	PAINX				7.31000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class A	74441C105	PEEAX	5.50		.30	1.07000		BUY,SELL
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class C	74441C303	PEGCX		1.00	1.00	1.99000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class R	74441C600	JDERX			.75	1.50000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class R2	74441C865	PEGEX			.25	1.56000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class R4	74441C857	PEGGX				0.87000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class R6	74441C881	PJGQX				0.60000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class Z	74441C808	PEGZX				0.73000		SELL ONLY
PGIM Investments	PGIM Jennison MLP Fund-Class A	74440G701	PRPAX	5.50		.30	3.62000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PGIM Investments	PGIM Jennison MLP Fund-Class C	74440G800	PRPCX		1.00	1.00	4.31000		SELL ONLY
PGIM Investments	PGIM Jennison MLP Fund-Class R6	74440G859	PRPQX				3.20000		SELL ONLY
PGIM Investments	PGIM Jennison MLP Fund-Class Z	74440G883	PRPZX				3.29000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class A	74441K107	PGNAX	5.50		.30	1.27000		BUY,SELL
PGIM Investments	PGIM Jennison Natural Resources Fund - Class C	74441K305	PNRCX		1.00	1.00	1.98000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class R	74441K404	JNRRX			.75	1.75000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class R6	74441K602	PJNQX				0.82000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class Z	74441K503	PNRZX				0.91000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class A	744336611	PAHSX	5.50		.25	6.75000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class C	744336595	PAHTX		1.00	1.00	28.86000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class R6	744336579	PAHVX				4.00000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class Z	744336587	PAHUX				4.36000		SELL ONLY
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class A	74440V823	PJDAX	5.50		.30	1.38000		BUY,SELL
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class C	74440V815	PJDCX		1.00	1.00	2.24000		SELL ONLY
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class R6	74440V682	PJDQX				0.89000		SELL ONLY
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class Z	74440V799	PJDZX				1.08000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class A	74441N101	PGOAX	5.50		.30	1.15000		BUY,SELL
PGIM Investments	PGIM Jennison Small Company Fund-Class C	74441N309	PSCCX		1.00	1.00	1.97000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class R	74441N507	JSCRX			.75	1.58000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class R2	74441N861	PSCHX			.25	1.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PGIM Investments	PGIM Jennison Small Company Fund-Class R4	74441N853	PSCJX				1.27000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class R6	74441N887	PJSQX				0.69000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class Z	74441N408	PSCZX				0.81000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class A	744336652	PGKAX	5.50		.30	2.44000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class C	744336645	PGKCX		1.00	1.00	3.47000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class R6	744336629	PGKRX				1.52000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class Z	744336637	PGKZX				1.71000		SELL ONLY
PGIM Investments	PGIM Jennison Utility Fund- Class A	74441P858	PRUAX	5.50		.30	0.85000		BUY,SELL
PGIM Investments	PGIM Jennison Utility Fund- Class C	74441P833	PCUFX		1.00	1.00	1.63000		SELL ONLY
PGIM Investments	PGIM Jennison Utility Fund- Class R	74441P825	JDURX			.75	1.36000		SELL ONLY
PGIM Investments	PGIM Jennison Utility Fund- Class R6	74441P726	PRUQX				0.50000		SELL ONLY
PGIM Investments	PGIM Jennison Utility Fund- Class Z	74441P817	PRUZX				0.57000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class A	74440N102	PBEAX	5.50		.30	1.11000		BUY,SELL
PGIM Investments	PGIM Jennison Value Fund- Class C	74440N300	PEICX		1.00	1.00	2.17000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class R	74440N607	JDVRX			.75	1.65000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class R6	74440N888	PJVQX				0.68000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class Z	74440N805	PEIZX				0.82000		SELL ONLY
PGIM Investments	PGIM Muni High Income Fund-Class C	74440M302	PHICX		1.00	1.00	1.64000		SELL ONLY
PGIM Investments	PGIM Muni High Income Fund-Class R6	74440M609	PHIQX				0.57000		SELL ONLY
PGIM Investments	PGIM Muni High Income Fund-Class Z	74440M401	PHIZX				0.62000		SELL ONLY
PGIM Investments	PGIM National Muni Fund - Class Z	74441U402	DNMZX				0.44000		SELL ONLY
PGIM Investments	PGIM National Muni Fund- Class C	74441U303	PNMCX		1.00	1.00	1.52000		SELL ONLY
PGIM Investments	PGIM National Muni Fund- Class R6	74441U600	PNMQX				0.34000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Emerging Markets Equity Fund-Class R6	74440E706	PQEMX				1.60000		SELL ONLY
PGIM Investments	PGIM Quant Solutions International Developed Markets Index Fund-Class R6	74440E607	PQDMX				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
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class A	743969859	PJRAX	5.50		.30	1.71000		BUY,SELL
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class C	743969875	PJRCX		1.00	1.00	3.29000		SELL ONLY
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class R6	743969578	PJRQX				0.97000		SELL ONLY
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class Z	743969883	PJIZX				1.21000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Core Equity Fund- Class A	74441J100	PTMAX	5.50		.30	0.83000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Large-Cap Core Equity Fund- Class C	74441J308	PTMCX		1.00	1.00	1.65000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Core Equity Fund- Class R6	74441J688	PTMQX				0.39000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Core Equity Fund- Class Z	74441J407	PTEZX				0.54000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class A	74441F108	PSIAX	3.25		.30	0.61000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class C	74441F306	PSICX		1.00	1.00	1.31000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class R6	74441F702	PQSIX				0.21000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class Z	74441F504	PSIFX				0.32000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund- Class I	74441F405	PDSIX				0.26000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Value Fund- Class A	74440K108	SUVAX	5.50		.30	1.34000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Large-Cap Value Fund- Class C	74440K306	SUVCX		1.00	1.00	2.37000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Value Fund- Class R	74440K736	PRVRX			.75	1.75000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Value Fund- Class R6	74440K538	SUVQX				0.90000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Value Fund- Class Z	74440K405	SUVZX				0.95000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class A	74441L105	SPRAX	5.50		.30	1.36000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class C	74441L303	NCBVX		1.00	1.00	2.41000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R	74441L782	SDVRX			.75	5.20000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R2	74441L758	PMVEX			.25	16.92000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R4	74441L741	PMVFX				1.39000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R6	74441L824	PMVQX				0.86000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class Z	74441L709	SPVZX				0.99000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class A	875921785	TSVAX	5.50		.30	1.19000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class C	875921710	TRACX		1.00	1.00	2.47000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R	875921843	TSVRX			.75	1.56000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R2	875921611	PSVDX			.25	6.61000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R4	875921595	PSVKX				36.54000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R6	875921777	TSVQX				0.69000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class Z	875921306	TASVX				0.83000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class A	74440K819	PUDAX	5.50		.30	2.34000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class C	74440K785	PUDCX		1.00	1.00	3.16000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class R6	74440K744	PUDQX				1.80000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class Z	74440K777	PUDZX				1.94000		SELL ONLY
PGIM Investments	PGIM Real Estate Income Fund- Class A	74441J761	PRKAX	5.50		.30	2.78000		SELL ONLY
PGIM Investments	PGIM Real Estate Income Fund- Class C	74441J753	PRKCX		1.00	1.00	5.29000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PGIM Investments	PGIM Real Estate Income Fund- Class R6	74441J670	PRKQX				1.47000		SELL ONLY
PGIM Investments	PGIM Real Estate Income Fund- Class Z	74441J746	PRKZX				2.21000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class A	74441F801	SCFOX	3.25		.25	1.90000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class C	74441F884	SCFVX		1.00	1.00	10.02000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class R6	74441F868	SCFQX				9.41000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class Z	74441F876	SCFZX				1.00000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class A	74441J811	SREAX	5.50		.30	1.42000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class C	74441J795	SRECX		1.00	1.00	2.47000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class R6	74441J787	SREQX				0.93000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class Z	74441J779	SREZX				1.06000		SELL ONLY
PGIM Investments	PGIM Short Duration High Yield Income Fund- Class A	74442J109	HYSAX	2.25		.25	1.04000		BUY,SELL
PGIM Investments	PGIM Short Duration High Yield Income Fund- Class C	74442J208	HYSCX		1.00	1.00	1.80000		SELL ONLY
PGIM Investments	PGIM Short Duration High Yield Income Fund- Class R6	74442J406	HYSQX				0.72000		SELL ONLY
PGIM Investments	PGIM Short Duration High Yield Income Fund- Class Z	74442J307	HYSZX				0.81000		SELL ONLY
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class A	74440B876	SDMAX	2.25		.25	0.68000		BUY,SELL
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class C	74440B868	SDMCX		1.00	1.00	1.54000		SELL ONLY
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class R6	74440B850	SDMQX				0.36000		SELL ONLY
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class Z	74440B843	SDMZX				0.47000		SELL ONLY
PGIM Investments	PGIM Short Duration Muni Fund- Class C	744336827	PDSCX		1.00	1.00	1.69000		SELL ONLY
PGIM Investments	PGIM Short Duration Muni Fund- Class R6	744336744	PDSQX				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
PGIM Investments	PGIM Short Duration Muni Fund- Class Z	744336819	PDSZX				0.51000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class A	74441R102	PBSMX	2.25		.25	0.73000		BUY,SELL
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class C	74441R300	PIFCX		1.00	1.00	1.50000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class R	74441R409	JDTRX			.75	1.32000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class R2	74441R805	PIFEX			.25	1.87000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class R4	74441R888	PIFGX				1.43000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class R6	74441R607	PSTQX				0.40000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund- Class Z	74441R508	PIFZX				0.49000		SELL ONLY
PGIM Investments	PGIM Strategic Bond Fund- Class A	74440K678	PUCAX	3.25		.25	0.98000		BUY,SELL
PGIM Investments	PGIM Strategic Bond Fund- Class C	74440K660	PUCCX		1.00	1.00	1.77000		SELL ONLY
PGIM Investments	PGIM Strategic Bond Fund- Class R6	74440K520	PUCQX				0.66000		SELL ONLY
PGIM Investments	PGIM Strategic Bond Fund- Class Z	74440K652	PUCZX				0.76000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class A	74440B108	PDBAX	3.25		.25	0.78000		BUY,SELL
PGIM Investments	PGIM Total Return Bond Fund -Class C	74440B306	PDBCX		1.00	1.00	1.50000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class R	74440B801	DTBRX			.75	1.29000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class R2	74440B819	PDBRX			.25	0.95000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class R4	74440B793	PDBSX				0.68000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class R6	74440B884	PTRQX				0.40000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class Z	74440B405	PDBZX				0.51000		SELL ONLY
PGIM Investments	PGIM US Real Estate Fund- Class A	744336603	PJEAX	5.50		.30	1.84000		SELL ONLY
PGIM Investments	PGIM US Real Estate Fund- Class C	744336801	PJECX		1.00	1.00	3.17000		SELL ONLY
PGIM Investments	PGIM US Real Estate Fund- Class R6	744336751	PJEQX				1.01000		SELL ONLY
PGIM Investments	PGIM US Real Estate Fund- Class Z	744336884	PJEZX				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
PIMCO	PIMCO All Asset All Authority Fund Class A	72200Q232	PAUAX	5.50		.25	5.66000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class C	72200Q216	PAUCX		1.00	1.00	6.41000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class I-2	72201M438	PAUPX				5.31000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Institutional Class	72200Q182	PAUIX				5.21000		SELL ONLY
PIMCO	PIMCO All Asset Fund Administrative Class	722005618	PAALX			.25	2.19500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class A	72200Q711	PASAX	3.75		.25	2.39500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class C	72200Q687	PASCX		1.00	1.00	3.14500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class I-2	72201M867	PALPX				2.04500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class R	72201F789	PATRX			.50	2.64500		SELL ONLY
PIMCO	PIMCO All Asset Fund Institutional Class	722005626	PAAIX				1.94500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Class C	72201P332	PCFCX		1.00	1.00	1.52500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Class I-2	72201M859	PCIPX				0.54500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Institutional Class	693389769	PCIMX				0.44500		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Class A	72201U877	PCTTX	2.25		.25	0.79000		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Class C	72201U869	PCTGX		1.00	1.00	1.54000		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Class I-2	72201U885	PCTPX				0.54000		SELL ONLY
PIMCO	PIMCO California Municipal Bond Fund Institutional Class	72201U802	PCTIX				0.44000		SELL ONLY
PIMCO	PIMCO California Municipal Intermediate Value Fund Institutional Shares	72202G331	GCMVX				0.50000		SELL ONLY
PIMCO	PIMCO California Municipal Opportunistic Value Fund Institutional Shares	72202G323	GCMFX				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
PIMCO	PIMCO California Short Duration Municipal Income Fund Class A	72201F649	PCDAX	2.25		.25	0.73000		SELL ONLY
PIMCO	PIMCO California Short Duration Municipal Income Fund Class I-2	72201M420	PCDPX				0.43000		SELL ONLY
PIMCO	PIMCO California Short Duration Municipal Income Fund Institutional Class	72201F656	PCDIX				0.33000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Class A	72202G240	PCEBX	2.25		.25	1.01000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Class C	72202G190	PCECX		1.00	1.00	1.76000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund I-2	72202G224	PCEPX				0.71000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Institutional Class	72202G216	PCEIX				0.61000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Class A	72201P159	PCLAX	5.50		.25	1.45000		BUY,SELL
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Class C	72201P142	PCPCX		1.00	1.00	2.20000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Class I-2	72201P167	PCLPX				1.10000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Institutional Class	72201P175	PCLIX				1.00000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Administrative Class	722005659	PCRRX			.25	1.32000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class A	722005584	PCRAX	5.50		.25	1.52000		BUY,SELL
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class C	722005568	PCRCX		1.00	1.00	2.27000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class I-2	72201M842	PCRPX				1.17000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class R	72201P225	PCSRX			.50	1.77000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Institutional Class	722005667	PCRIX				1.07000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund Class A	72201W451	PZCRX	3.75		.25	1.07000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund Class C	72201W444	PCCRX		1.00	1.00	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
PIMCO	PIMCO Credit Opportunities Bond Fund Class I-2	72201W428	PPCRX				0.77000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund Institutional Class	72201W394	PCARX				0.67000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Administrative Class	72200Q570	PDAAX			.25	1.04000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Class A	72200Q661	PDVAX	3.75		.25	1.19000		BUY,SELL
PIMCO	PIMCO Diversified Income Fund Class C	72200Q646	PDICX		1.00	1.00	1.94000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Class I-2	72201M826	PDVPX				0.89000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Institutional Class	693391880	PDIIX				0.79000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Class A	72201T748	PQIZX	5.50		.25	1.11000		BUY,SELL
PIMCO	PIMCO Dividend and Income Fund Class C	72201T730	PQICX		1.00	1.00	1.86000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Class I2	72201T714	PQIPX				0.86000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Institutional Class	72201T672	PQIIX				0.76000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class A	72201M479	PUBAX	3.75		.25	1.36000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class C	72201M297	PUBCX		1.00	1.00	2.11000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class I-2	72201M453	PUCPX				1.06000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class R	72201M289	PUBRX			.50	1.61000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Institutional Class	72201M487	PFIUX				0.96000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Class A	693391575	PAEMX	3.75		.25	1.67000		BUY,SELL
PIMCO	PIMCO Emerging Markets Bond Fund Class C	693391591	PEBCX		1.00	1.00	2.42000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Class I-2	72201M818	PEMPX				1.40000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Institutional Class	693391559	PEBIX				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
PIMCO	PIMCO Emerging Markets Corporate Bond Fund Institutional Class	72201P522	PEMIX				0.93000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and Short-Term Investments Fund Class A	72201F102	PLMAX	3.75		.25	1.49000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and Short-Term Investments Fund Class I-2	72201M834	PLMPX				1.19000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and Short-Term Investments Fund Institutional Class	72201F409	PLMIX				1.09000		SELL ONLY
PIMCO	PIMCO Emerging Markets Full Spectrum Bond Fund Institutional Class	72201U562	PFSIX				2.38000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Class A	72201F425	PELAX	3.75		.25	2.42000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Class C	72201F391	PELCX		1.00	1.00	3.17000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Class I-2	72201M396	PELPX				2.12000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Institutional Class	72201F516	PELBX				2.02000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Class A	72202G133	PEGAX	3.75		.25	1.40000		BUY,SELL
PIMCO	PIMCO ESG Income Fund Class C	72202G125	PEGBX		1.00	1.00	2.15000		SELL ONLY
PIMCO	PIMCO ESG Income Fund I-2	72202G158	PEGPX				1.10000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Institutional	72202G166	PEGIX				1.00000		SELL ONLY
PIMCO	PIMCO Extended Duration Fund Class I-2	72201M388	PEDPX				6.30000		SELL ONLY
PIMCO	PIMCO Extended Duration Fund Institutional Class	72201F599	PEDIX				6.20000		SELL ONLY
PIMCO	PIMCO Global Advantage Strategy Bond Fund Class A	72201M321	PGSAX	3.75		.25	1.23000		SELL ONLY
PIMCO	PIMCO Global Advantage Strategy Bond Fund Institutional Class	72201M446	PSAIX				0.83000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) Class A	693390346	PAIIX	3.75		.25	1.06000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) Class I-2	72201M750	PGNPX				0.81000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) ClassC	693390320	PCIIX		1.00	1.00	1.81000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) Institutional Class	693390130	PGBIX				0.71000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Class A	72201P407	PGMAX	5.50		.25	1.63000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Class C	72201P506	PGMCX		1.00	1.00	2.38000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Class I-2	72201P605	PGAPX				1.28000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Institutional Class	72201P100	PGAIX				1.18000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities Fund Class A	693391476	PAGNX	3.75		.25	1.86000		BUY,SELL
PIMCO	PIMCO GNMA and Government Securities Fund Class C	693391492	PCGNX		1.00	1.00	2.61000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities Fund Class I-2	72201M743	PPGNX				1.56000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities Fund Institutional Class	693391450	PDMIX				1.46000		SELL ONLY
PIMCO	PIMCO High Yield Fund Administrative Class	693390650	PHYAX			.25	0.85000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class A	693390379	PHDAX	3.75		.25	0.95000		BUY,SELL
PIMCO	PIMCO High Yield Fund Class C	693390353	PHDCX		1.00	1.00	1.70000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class I-2	72201M735	PHLPX				0.70000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class R	72200Q794	PHYRX			.50	1.20000		SELL ONLY
PIMCO	PIMCO High Yield Fund Institutional Class	693390841	PHIYX				0.60000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund Class C	72201F524	PYMCX		1.00	1.00	1.61000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund Class I-2	72201M727	PYMPX				0.66000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund Institutional Class	72201F672	PHMIX				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
PIMCO	PIMCO High Yield Spectrum Fund Class A	72201W600	PHSAX	3.75		.25	1.00000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Class C	72201W709	PHSCX		1.00	1.00	1.75000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Class I-2	72201W303	PHSPX				0.75000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Institutional Class	72201W204	PHSIX				0.65000		SELL ONLY
PIMCO	PIMCO Income Fund Administrative Class	72201F482	PIINX			.25	1.08000		SELL ONLY
PIMCO	PIMCO Income Fund Class A	72201F474	PONAX	3.75		.25	1.23000		BUY,SELL
PIMCO	PIMCO Income Fund Class C	72201F466	PONCX		1.00	1.00	1.98000		SELL ONLY
PIMCO	PIMCO Income Fund Class I-2	72201M719	PONPX				0.93000		SELL ONLY
PIMCO	PIMCO Income Fund Class R	72201F441	PONRX			.50	1.48000		SELL ONLY
PIMCO	PIMCO Income Fund Institutional Class	72201F490	PIMIX				0.83000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund Class A	72201W386	PZRMX	5.50		.25	2.62000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund Class I-2	72201W352	PPRMX				2.27000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund Institutional	72201W337	PIRMX				2.17000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Administrative Class	693390692	PFRAX			.25	1.00000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class A	693391245	PFOAX	3.75		.25	1.15000		BUY,SELL
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class C	693391260	PFOCX		1.00	1.00	1.90000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class I-2	72201M784	PFBPX				0.85000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class R	72200Q828	PFRRX			.50	1.40000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Institutional Class	693390882	PFORX				0.75000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Administrative Class	72201F771	PFUUX			.25	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
PIMCO	PIMCO International Bond Fund (Unhedged) Class A	722005196	PFUAX	3.75		.25	1.17000		BUY,SELL
PIMCO	PIMCO International Bond Fund (Unhedged) Class C	722005188	PFRCX		1.00	1.00	1.92000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Class I-2	72201M776	PFUPX				0.87000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Institutional Class	722005220	PFUIX				0.77000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Administrative Class	722005592	PGCAX			.25	1.34000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Class A	722008307	PBDAX	3.75		.25	1.49000		BUY,SELL
PIMCO	PIMCO Investment Grade Credit Bond Fund Class C	722008406	PBDCX		1.00	1.00	2.24000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Class I-2	72201M685	PBDPX				1.19000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Institutional Class	722005816	PIGIX				1.09000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Class A	72202G372	PLRAX	3.75		.25	3.39000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Class C	72202G364	PLRCX		1.00	1.00	4.14000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Class I-2	72201M362	PLRPX				3.09000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Institutional Class	72201F623	PLRIX				2.99000		SELL ONLY
PIMCO	PIMCO Long-Term Credit Bond Fund Class I-2	72201P621	PLCPX				1.61000		SELL ONLY
PIMCO	PIMCO Long-Term Credit Bond Fund Institutional Class	72201P647	PTCIX				1.51000		SELL ONLY
PIMCO	PIMCO Long-Term Real Return Fund Class I-2	72201W816	PRTPX				2.38000		SELL ONLY
PIMCO	PIMCO Long-Term Real Return Fund Institutional Class	72200Q505	PRAIX				2.28000		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund Class A	693391187	PFGAX	3.75		.25	2.21500		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PIMCO	PIMCO Long-Term U.S. Government Fund Class C	693391203	PFGCX		1.00	1.00	2.96500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund Class I-2	72201M677	PLTPX				1.96500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund Institutional Class	693390205	PGOVX				1.86500		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Class A	72201W758	PSRZX	2.25		.25	1.05000		BUY,SELL
PIMCO	PIMCO Low Duration Credit Fund Class C	72201W741	PSRWX		1.00	1.00	1.80000		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Class I-2	72201W782	PSRPX				0.85000		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Institutional Class	72201W790	PSRIX				0.75000		SELL ONLY
PIMCO	PIMCO Low Duration ESG Fund Class I-2	72201W824	PLUPX				0.71000		SELL ONLY
PIMCO	PIMCO Low Duration ESG Fund Institutional Class	693390858	PLDIX				0.61000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Administrative Class	693390767	PLDAX			.25	0.75000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class A	693390411	PTLAX	2.25		.25	0.79000		BUY,SELL
PIMCO	PIMCO Low Duration Fund Class C	693390387	PTLCX		1.00	.55	1.14000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class I-2	72201M669	PLDPX				0.60000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class R	72200Q869	PLDRX			.50	1.09000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Institutional Class	693390304	PTLDX				0.50000		SELL ONLY
PIMCO	PIMCO Low Duration II Fund Administrative Class	693390668	PDFAX			.25	0.77000		SELL ONLY
PIMCO	PIMCO Low Duration II Fund Institutional Class	693390791	PLDTX				0.52000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Class A	722005162	PFIAX	2.25		.25	1.21000		BUY,SELL
PIMCO	PIMCO Low Duration Income Fund Class C	722005154	PFNCX		1.00	.55	1.51000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Class I-2	72201M792	PFTPX				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
PIMCO	PIMCO Low Duration Income Fund Institutional Class	722005170	PFIIX				0.81000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Class A	72201P738	ATMAX	3.75		.25	0.99000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Class C	72201P720	ATMCX		1.00	1.00	1.74000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Class I-2	72201P753	PUTPX				0.69000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Institutional Class	72201P746	PUTIX				0.59000		SELL ONLY
PIMCO	PIMCO Moderate Duration Fund Class I-2	72201P233	PMOPX				0.63000		SELL ONLY
PIMCO	PIMCO Moderate Duration Fund Institutional Class	693390593	PMDRX				0.53000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Class A	72201U679	PMZAX	3.75		.25	2.54000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Class C	72201U661	PMZCX		1.00	1.00	3.29000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Class I-2	72201U646	PMZPX				2.24000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Institutional Class	72201U638	PMZIX				2.14000		SELL ONLY
PIMCO	PIMCO Municipal Bond Fund Class C	693391633	PMLCX		1.00	.75	1.25000		SELL ONLY
PIMCO	PIMCO Municipal Bond Fund Class I-2	72201M644	PMUPX				0.54000		SELL ONLY
PIMCO	PIMCO Municipal Bond Fund Institutional Class	693391658	PFMIX				0.44000		SELL ONLY
PIMCO	PIMCO National Intermediate Municipal Bond Fund Class C	72201U406	PMNNX		1.00	.75	1.30000		SELL ONLY
PIMCO	PIMCO National Intermediate Municipal Bond Fund Class I-2	72201U208	PMNPX				0.55000		SELL ONLY
PIMCO	PIMCO National Intermediate Municipal Bond Fund Institutional Class	72201U109	PMNIX				0.45000		SELL ONLY
PIMCO	PIMCO National Municipal Intermediate Value Fund Institutional Shares	72202G315	GNMVX				0.50000		SELL ONLY
PIMCO	PIMCO National Municipal Opportunistic Value Fund Institutional Shares	72202G299	GNMFX				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
PIMCO	PIMCO New York Municipal Bond Fund Class C	72201P340	PBFCX		1.00	1.00	1.52500		SELL ONLY
PIMCO	PIMCO New York Municipal Bond Fund Institutional Class	693389710	PNYIX				0.44500		SELL ONLY
PIMCO	PIMCO New York Municipal Fund Class I-2	72201M347	PNYPX				0.54500		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities Fund Class A	72202E666	PFANX	3.75		.25	1.57000		BUY,SELL
PIMCO	PIMCO Preferred and Capital Securities Fund Class C	72202G281	PFCJX		1.00	1.00	2.32000		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities Fund Class I-2	72202E658	PFPNX				1.32000		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities Fund Institutional Class	72202E682	PFINX				1.22000		SELL ONLY
PIMCO	PIMCO RAE Emerging Markets Fund Class A	72202L678	PEAFX	3.75		.25	1.12000		BUY,SELL
PIMCO	PIMCO RAE Emerging Markets Fund Class I-2	72202L652	PEPFX				0.87000		SELL ONLY
PIMCO	PIMCO RAE Emerging Markets Fund Institutional Class	72202L645	PEIFX				0.77000		SELL ONLY
PIMCO	PIMCO RAE Fundamental Advantage PLUS Fund Class A	72201M164	PTFAX	3.75		.25	1.73000		SELL ONLY
PIMCO	PIMCO RAE Fundamental Advantage PLUS Fund Institutional Class	72201F110	PFATX				1.33000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Class A	72202L587	PZRAX	3.75		.25	1.48000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Class I-2	72202L561	PZRPX				1.23000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Institutional Class	72202L553	PZRIX				1.13000		SELL ONLY
PIMCO	PIMCO RAE International Fund Class A	72202L546	PPYAX	3.75		.25	0.87000		BUY,SELL
PIMCO	PIMCO RAE International Fund Class I-2	72202L520	PPYPX				0.62000		SELL ONLY
PIMCO	PIMCO RAE International Fund Institutional Class	72202L512	PPYIX				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
PIMCO	PIMCO RAE PLUS EMG Fund Class A	72201U539	PEFFX	3.75		.25	1.85000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class C	72201U521	PEFCX		1.00	1.00	2.60000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class I-2	72201M115	PEFPX				1.55000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Institutional Class	72201M131	PEFIX				1.45000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class A	72201F888	PIXAX	3.75		.25	1.39000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class C	72201F870	PIXCX		1.00	1.00	2.14000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class I-2	72201M768	PIXPX				1.09000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Institutional Class	72201F854	PXTIX				0.99000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Class A	72201W139	PTSOX	3.75		.25	1.57000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Class I-2	72201U232	PTIPX				1.32000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Institutional Class	72201W667	PTSIX				1.22000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class A	72201U265	PCFAX	3.75		.25	1.45000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class C	72201U257	PCFEX		1.00	1.00	2.20000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class I-2	72201U224	PCCPX				1.20000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Institutional Class	72201W675	PCFIX				1.10000		SELL ONLY
PIMCO	PIMCO RAE US Fund Class A	72202L496	PKAAX	3.75		.25	0.81000		BUY,SELL
PIMCO	PIMCO RAE US Fund Class I-2	72202L470	PKAPX				0.51000		SELL ONLY
PIMCO	PIMCO RAE US Fund Institutional Class	72202L462	PKAIX				0.41000		SELL ONLY
PIMCO	PIMCO RAE US Small Fund Class A	72202L454	PMJAX	3.75		.25	0.91000		BUY,SELL
PIMCO	PIMCO RAE US Small Fund Class I-2	72202L439	PMJPX				0.61000		SELL ONLY
PIMCO	PIMCO RAE US Small Fund Institutional Class	72202L421	PMJIX				0.51000		SELL ONLY
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund Class A	72202G273	PWL BX	5.50		.25	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
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund Class C	72202G265	PWLEX		1.00	1.00	2.57000		SELL ONLY
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund I-2	72202G257	PWLMX				1.52000		SELL ONLY
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund Institutional Class	72202E609	PWLIX				1.42000		SELL ONLY
PIMCO	PIMCO Real Return Fund Administrative Class	693391112	PARRX			.25	0.75000		SELL ONLY
PIMCO	PIMCO Real Return Fund Class A	693391120	PRTNX	3.75		.25	0.90000		BUY,SELL
PIMCO	PIMCO Real Return Fund Class C	693391146	PRTCX		1.00	.75	1.40000		SELL ONLY
PIMCO	PIMCO Real Return Fund Class I-2	72201M636	PRLPX				0.60000		SELL ONLY
PIMCO	PIMCO Real Return Fund Class R	72200Q760	PRRRX			.50	1.15000		SELL ONLY
PIMCO	PIMCO Real Return Fund Institutional Class	693391104	PRRIX				0.50000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Class A	72200Q299	PETAX	5.50		.25	6.49000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Class C	72200Q273	PETCX		1.00	1.00	7.24000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Class I-2	72201M628	PETPX				6.19000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Institutional Class	72200Q257	PRRSX				6.09000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2025 Fund Class A	72202L702	PPZAX	5.50		.25	0.92000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2025 Fund Institutional Class	72202L884	PPZRX				0.47000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2030 Fund Class A	72202L876	PBPAX	5.50		.25	0.84000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2030 Fund Institutional Class	72202L850	PBPNX				0.39000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2035 Fund Class A	72202L843	PDGAX	5.50		.25	0.77000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2035 Fund Institutional Class	72202L827	PDGZX				0.32000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2040 Fund Class A	72202L819	PVPAX	5.50		.25	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
PIMCO	PIMCO RealPath Blend 2040 Fund Institutional Class	72202L785	PVPNX				0.26000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2045 Fund Class A	72202L777	PVQAX	5.50		.25	0.65000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2045 Fund Institutional Class	72202L751	PVQNX				0.20000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2050 Fund Class A	72202L744	PPQAX	5.50		.25	0.61000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2050 Fund Institutional Class	72202L728	PPQZX				0.16000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Class A	72202L710	PRQAX	5.50		.25	0.60000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Institutional Class	72202L686	PRQZX				0.15000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Class A	72202L348	PRBAX	5.50		.25	0.60000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Institutional Class	72202L314	PRBMX				0.15000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Class A	72202L108	PBRAX	5.50		.25	0.96000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Institutional Class	72202L306	PBRNX				0.51000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Administrative Class	72201U786	PAIQX			.25	0.61000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Class A	72201U794	PAIAX			.25	0.71000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Class I-2	72201U810	PAIPX				0.46000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Institutional Class	72201U828	PAIDX				0.36000		SELL ONLY
PIMCO	PIMCO Short Duration Municipal Income Fund Class C	693389868	PSDCX		1.00	.55	1.03000		SELL ONLY
PIMCO	PIMCO Short Duration Municipal Income Fund Class I-2	72201M610	PSDPX				0.43000		SELL ONLY
PIMCO	PIMCO Short Duration Municipal Income Fund Institutional Class	693389827	PSDIX				0.33000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
PIMCO	PIMCO Short-Term Fund Administrative Class	693390734	PSFAX			.25	0.73000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class A	693391211	PSHAX	2.25		.25	0.73000		BUY,SELL
PIMCO	PIMCO Short-Term Fund Class C	693391237	PFTCX		1.00	.55	1.03000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class I-2	72201M594	PTSPX				0.58000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class R	72200Q877	PTSRX			.50	0.98000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Institutional Class	693390601	PTSHX				0.48000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Class A	72200Q620	PTOAX	3.75		.25	1.35000		BUY,SELL
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Class C	72200Q596	PSOCX		1.00	1.00	2.10000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Class I-2	72201M560	PTOPX				1.05000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Institutional Class	722005642	PSPTX				0.95000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class A	693391393	PSPAX	3.75		.25	1.10000		BUY,SELL
PIMCO	PIMCO StocksPLUS? Fund Class C	693391419	PSPCX		1.00	.75	1.60000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class I-2	72201M578	PSKPX				0.80000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class R	72200Q729	PSPRX			.50	1.35000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Institutional Class	693390403	PSTKX				0.70000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Class A	72200Q430	PIPAX	3.75		.25	1.57000		BUY,SELL
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Class C	72200Q414	PIPCX		1.00	1.00	2.32000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Class I-2	72201M370	PIUHX				1.27000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Institutional Class	72200Q380	PISIX				1.17000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Class A	72201F557	PPUAX	3.75		.25	1.36000		BUY,SELL
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Class C	72201F540	PPUCX		1.00	1.00	2.11000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Class I-2	72201M693	PPLPX				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
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Institutional Class	72201F573	PSKIX				0.96000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Long Duration Fund Institutional Class	72201F433	PSLDX				2.88000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class A	72201F763	PSSAX	3.75		.25	1.16000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class C	72201F755	PSSCX		1.00	1.00	1.91000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class I-2	72201M339	PSPLX				0.86000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Institutional Class	693390486	PSTIX				0.76000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class A	72201F698	PCKAX	3.75		.25	1.30000		BUY,SELL
PIMCO	PIMCO StocksPLUS? Small Fund Class C	72201F680	PCKCX		1.00	1.00	2.05000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class I-2	72201M586	PCKPX				1.00000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Institutional Class	72201F797	PSCSX				0.90000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Administrative Class	693390627	PRFAX			.25	1.07000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Class A	72202G182	PTGAX	2.25		.25	1.22000		BUY,SELL
PIMCO	PIMCO Total Return ESG Fund Class C	72202G174	PTGCX		1.00	1.00	1.97000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Class I-2	72201P597	PRAPX				0.92000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Institutional Class	693390866	PTSAX				0.82000		SELL ONLY
PIMCO	PIMCO Total Return Fund Administrative Class	693390726	PTRAX			.25	0.76000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class A	693390445	PTTAX	3.75		.25	0.85000		BUY,SELL
PIMCO	PIMCO Total Return Fund Class C	693390429	PTTCX		1.00	1.00	1.60000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class I-2	72201M552	PTTPX				0.61000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class R	72200Q851	PTRRX			.50	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
PIMCO	PIMCO Total Return Fund Institutional Class	693390700	PTTRX				0.51000		SELL ONLY
PIMCO	PIMCO Total Return Fund IV Class A	72201W691	PTUZX	3.75		.25	1.02000		BUY,SELL
PIMCO	PIMCO Total Return Fund IV Institutional Class	72201W717	PTUIX				0.67000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Class I-2	72201P258	PMPXP				0.67000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Institutional Class	693390551	PMBIX				0.57000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strategy Fund Class A	72201U497	PQTAX	5.50		.25	2.97000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strategy Fund Class I-2	72201U463	PQTPX				2.67000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strategy Fund Institutional Class	72201U455	PQTIX				2.57000		SELL ONLY
PRIMECAP Odyssey Funds	PRIMECAP Odyssey Aggressive Growth Fund	74160Q202	POAGX				0.66000		SELL ONLY
PRIMECAP Odyssey Funds	PRIMECAP Odyssey Growth Fund	74160Q103	POGRX				0.66000		SELL ONLY
PRIMECAP Odyssey Funds	PRIMECAP Odyssey Stock Fund	74160Q301	POSKX				0.67000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Class A	74255L472	PBLAX	5.50		.25	0.99000		BUY,SELL
Principal Funds	Principal Blue Chip Fund Class C	74255L464	PBLCX		1.00	1.00	1.71000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Class R6	74256W535	PGBHX				0.60000		SELL ONLY
Principal Funds	Principal Blue Chip Fund Institutional Class	74255L589	PBCKX				0.71000		SELL ONLY
Principal Funds	Principal Bond Market Index Institutional Class	742553316	PNIX				0.17000		SELL ONLY
Principal Funds	Principal California Municipal Fund Class C	74254V679	SRCCX		1.00	1.00	1.73000		SELL ONLY
Principal Funds	Principal California Municipal Fund Institutional Class	742537459	PCMFY				0.67000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Class A	74254V349	CMNWX	5.50		.25	0.78000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Institutional Class	74254U432	PWCIX				0.46000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Principal Funds	Principal Core Fixed Income Fund Class A	74254V638	CMPIX	2.25		.25	0.76000		BUY,SELL
Principal Funds	Principal Core Fixed Income Fund Class R-6	742537616	PICNX				0.35000		SELL ONLY
Principal Funds	Principal Core Fixed Income Fund Institutional Class	74254U473	PIOIX				0.49000		SELL ONLY
Principal Funds	Principal Core Plus Bond Fund Class A	74254T245	PRBDX	3.75		.25	0.99000		BUY,SELL
Principal Funds	Principal Core Plus Bond Fund Institutional Class	74253M159	PMSIX				0.59000		SELL ONLY
Principal Funds	Principal Diversified Income Fund Class A	74254V224	PGBAX	3.75		.25	1.05000		BUY,SELL
Principal Funds	Principal Diversified Income Fund Class C	74254V216	PGDCX		1.00	1.00	1.81000		SELL ONLY
Principal Funds	Principal Diversified Income Fund Class R6	742537244	PGBLX				0.72000		SELL ONLY
Principal Funds	Principal Diversified Income Fund Institutional Class	74254V232	PGDIX				0.78000		SELL ONLY
Principal Funds	Principal Diversified International Fund Class A	74254T328	PRWLX	5.50		.25	1.29000		SELL ONLY
Principal Funds	Principal Diversified International Fund Class R6	74257B811	PDIFX				0.79000		SELL ONLY
Principal Funds	Principal Diversified International Fund Institutional Class	74253Q879	PIIX				0.93000		SELL ONLY
Principal Funds	Principal Diversified Real Asset Fund Class A	74254V182	PRDAX	3.75		.25	1.24000		SELL ONLY
Principal Funds	Principal Diversified Real Asset Fund Class R-6	742537467	PDARX				0.78000		SELL ONLY
Principal Funds	Principal Diversified Real Asset Fund Institutional Class	74254V166	PDRDX				0.89000		SELL ONLY
Principal Funds	Principal Edge MidCap Fund Class A	74257B308	PEMCX	5.50		.25	1.29000		SELL ONLY
Principal Funds	Principal Edge MidCap Fund Class Institutional	742537426	PEDGX				0.83000		SELL ONLY
Principal Funds	Principal Edge MidCap Fund R6	74256W527	PEDMX				0.75000		SELL ONLY
Principal Funds	Principal Equity Income Fund Class A	74254V869	PQIAX	5.50		.25	0.87000		SELL ONLY
Principal Funds	Principal Equity Income Fund Class C	74254V844	PEUCX		1.00	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
Principal Funds	Principal Equity Income Fund Institutional Class	74254U499	PEIIX				0.54000		SELL ONLY
Principal Funds	Principal Finisterre Emerging Markets Total Return Bond Fund Class Institutional	74255L175	PFUMX				0.91000		SELL ONLY
Principal Funds	Principal Global Emerging Markets Fund Class A	74254T294	PRIAX	5.50		.25	1.70000		SELL ONLY
Principal Funds	Principal Global Emerging Markets Fund Class R6	74256W618	PIIMX				1.44000		SELL ONLY
Principal Funds	Principal Global Emerging Markets Fund Institutional Class	74253Q804	PIEIX				1.31000		SELL ONLY
Principal Funds	Principal Global Multi-Strategy Fund Class A Shares	74255L720	PMSAX	3.75		.25	2.18000		SELL ONLY
Principal Funds	Principal Global Multi-Strategy Fund Institutional Class Shares	74255L696	PSMIX				1.86000		SELL ONLY
Principal Funds	Principal Global Multi-Strategy Fund R-6	742537236	PGLSX				1.75000		SELL ONLY
Principal Funds	Principal Global Real Estate Securities Fund Class A	74254V299	POSAX	5.50		.25	1.36000		SELL ONLY
Principal Funds	Principal Global Real Estate Securities Fund Class R-6	742537624	PGRSX				0.89000		SELL ONLY
Principal Funds	Principal Global Real Estate Securities Fund Institutional Class	74254V273	POSIX				1.01000		SELL ONLY
Principal Funds	Principal Government & High Quality Bond Fund Class A	74254V372	CMPGX	2.25		.15	0.85000		BUY,SELL
Principal Funds	Principal Government & High Quality Bond Fund Institutional Class	74254U457	PMRIX				0.54000		SELL ONLY
Principal Funds	Principal High Income Fund Class Institutional	74254R637	PYHIX				0.63000		SELL ONLY
Principal Funds	Principal High Yield Fund Class A	74254V661	CPHYX	3.75		.25	0.94000		BUY,SELL
Principal Funds	Principal High Yield Fund Class C	74254V646	CCHIX		1.00	1.00	1.75000		SELL ONLY
Principal Funds	Principal High Yield Fund Class R-6	74256W626	PHYFX				0.53000		SELL ONLY
Principal Funds	Principal High Yield Fund Institutional Class	74254U481	PHYTX				0.65000		SELL ONLY
Principal Funds	Principal Inflation Protection Fund Institutional Class	74254T815	PIPIX				0.40000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Principal Funds	Principal International Equity Fund Institutional Class	74253Q226	PINIX				1.01000		SELL ONLY
Principal Funds	Principal International Equity Fund R-6 Class	74256W592	PIIDX				0.84000		SELL ONLY
Principal Funds	Principal International Equity Index Fund Institutional Class	742553324	PIDIX				0.49000		SELL ONLY
Principal Funds	Principal International Equity Index Fund R6	74256W519	PFIEX				0.33000		SELL ONLY
Principal Funds	Principal International Small Company Fund Institutional Class	742537475	PISMX				1.16000		SELL ONLY
Principal Funds	Principal International Small Company Fund R6	74256W493	PFISX				1.05000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Class A	74255L480	PLGAX	5.50		.25	1.02000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Class R-6	742537590	PLCGX				0.61000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Institutional Class	74253J784	PLGIX				0.70000		SELL ONLY
Principal Funds	Principal LargeCap S&P 500 Index Fund Class A	74254T476	PLSAX	1.50		.15	0.38000		BUY,SELL
Principal Funds	Principal LargeCap S&P 500 Index Fund Institutional Class	74253Q788	PLFIX				0.12000		SELL ONLY
Principal Funds	Principal LargeCap Value Fund III Institutional Class	74253J677	PLVIX				0.79000		SELL ONLY
Principal Funds	Principal LifeTime 2015 Fund Institutional Class	742553605	LTINX				0.53000		SELL ONLY
Principal Funds	Principal LifeTime 2020 Fund Class A	74254U101	PTBAX	3.75		.25	0.91000		BUY,SELL
Principal Funds	Principal LifeTime 2020 Fund Institutional Class	74253M464	PLWIX				0.54000		SELL ONLY
Principal Funds	Principal LifeTime 2025 Fund Institutional Class	742553738	LTSTX				0.56000		SELL ONLY
Principal Funds	Principal LifeTime 2030 Fund Class A	74254U309	PTCAX	5.50		.25	0.95000		SELL ONLY
Principal Funds	Principal LifeTime 2030 Fund Institutional Class	74253M399	PMTIX				0.58000		SELL ONLY
Principal Funds	Principal LifeTime 2035 Fund Institutional Class	742553720	LTIUX				0.60000		SELL ONLY
Principal Funds	Principal LifeTime 2040 Fund Class A	74254U507	PTDAX	5.50		.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
Principal Funds	Principal LifeTime 2040 Fund Institutional Class	74253M332	PTDIX				0.63000		SELL ONLY
Principal Funds	Principal LifeTime 2045 Fund Institutional Class	742553746	LTRIX				0.65000		SELL ONLY
Principal Funds	Principal LifeTime 2050 Fund Class A	74254U705	PPEAX	5.50		.25	1.12000		BUY,SELL
Principal Funds	Principal LifeTime 2050 Fund Institutional Class	74253M266	PPLIX				0.67000		SELL ONLY
Principal Funds	Principal LifeTime 2055 Fund Institutional Class	742553712	LTFIX				0.67000		SELL ONLY
Principal Funds	Principal LifeTime 2060 Fund Institutional Class	74255L563	PLTZX				0.67000		SELL ONLY
Principal Funds	Principal LifeTime 2065 Institutional Class Shares	74256W238	PLJIX				0.70000		SELL ONLY
Principal Funds	Principal Lifetime 2070 Fund Institutional Class	74257B621	PLTGX				2.20000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2015 Fund Institutional Class	74255L365	PHTMX				0.46000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2015 Fund R-6	74256W105	PLRRX				0.38000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2020 Fund Institutional Class	74255L332	PHTTX				0.42000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2020 Fund R-6	74256W204	PLTTX				0.34000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2025 Fund Institutional Class	74255L290	PHTQX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2025 Fund R-6	74256W303	PLFTX				0.34000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2030 Fund Institutional Class	74255L266	PHTNX				0.38000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2030 Fund R-6	74256W402	PLZTX				0.33000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2035 Fund Institutional Class	74255L233	PHTJX				0.41000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2035 Fund R-6	74256W501	PLRTX				0.35000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2040 Fund Institutional Class	742537780	PLTQX				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
Principal Funds	Principal LifeTime Hybrid 2040 Fund R-6	74256W600	PLMTX				0.37000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2045 Fund Institutional Class	742537756	PHTYX				0.45000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2045 Fund R-6	74256W709	PLNTX				0.39000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2050 Fund Institutional Class	742537723	PHTUX				0.47000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2050 Fund R-6	74256W808	PLJTX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2055 Fund Institutional Class	742537681	PLTNX				0.50000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2055 Fund R-6	74256W881	PLHTX				0.43000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2060 Fund Institutional Class	742537657	PLTHX				0.63000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2060 Fund R-6	74256W873	PLKTX				0.48000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2065 Class R-6 Shares	74256W154	PLHRX				0.71000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2065 Institutional Class Shares	74256W162	PLHHX				1.61000		SELL ONLY
Principal Funds	Principal Lifetime Hybrid 2070 Fund Institutional Class	74257B555	PLKSX				187.26000		SELL ONLY
Principal Funds	Principal Lifetime Hybrid 2070 Fund R6	74257B530	PLKRX				41.21000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid Income Fund Institutional Class	74255L399	PHTFX				0.54000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid Income Fund R-6	74256W865	PLTYX				0.41000		SELL ONLY
Principal Funds	Principal LifeTime Strategic Income Fund Class A	74254T138	PALTX	3.75		.25	0.94000		SELL ONLY
Principal Funds	Principal LifeTime Strategic Income Fund Institutional Class	74253M191	PLSIX				0.52000		SELL ONLY
Principal Funds	Principal MidCap Fund Class A	74254T443	PEMGX	5.50		.25	0.95000		BUY,SELL
Principal Funds	Principal MidCap Fund Class C	74254U721	PMBCX		1.00	1.00	1.78000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Principal Funds	PRINCIPAL MIDCAP FUND Class R6	74256W584	PMAQX				0.60000		SELL ONLY
Principal Funds	Principal MidCap Fund Institutional Class	74253Q747	PCBIX				0.68000		SELL ONLY
Principal Funds	Principal MidCap Growth Fund III Institutional Class	74253Q614	PPIMX				0.82000		SELL ONLY
Principal Funds	Principal MidCap Growth Fund Institutional Class	74253Q721	PGWIX				0.79000		SELL ONLY
Principal Funds	Principal MidCap S&P 400 Index Fund Class R6	74256W576	PMAPX				0.16000		SELL ONLY
Principal Funds	Principal MidCap S&P 400 Index Fund Institutional Class	74253Q697	MPSIX				0.25000		SELL ONLY
Principal Funds	Principal MidCap Value Fund I Class A	74257B662	PCMVX	5.50		.25	1.14000		SELL ONLY
Principal Funds	Principal MidCap Value Fund I Institutional Class	74253Q192	PVMIX				0.75000		SELL ONLY
Principal Funds	Principal MidCap Value Fund I R-6 Class	74257B654	PCMSX				0.64000		SELL ONLY
Principal Funds	Principal Opportunistic Municipal Fund Class A	74255L639	PMOAX	3.75		.25	1.08000		SELL ONLY
Principal Funds	Principal Opportunistic Municipal Fund Institutional Class	742537442	POMFX				0.83000		SELL ONLY
Principal Funds	Principal Origin Emerging Markets Fund Class A	742537517	POEYX	5.50		.25	2.03000		SELL ONLY
Principal Funds	Principal Origin Emerging Markets Fund Class R-6	742537483	POEFX				1.00000		SELL ONLY
Principal Funds	Principal Origin Emerging Markets Fund Institutional Class	742537491	POEIX				1.22000		SELL ONLY
Principal Funds	Principal Overseas Fund Institutional Class	742553571	PINZX				0.95000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Class A	74254T278	PRRAX	5.50		.25	1.22000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Class C	74254V786	PRCEX		1.00	1.00	2.10000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Class R6	74256W568	PFRSX				0.81000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Institutional Class	74253Q580	PIREX				0.92000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Principal Funds	Principal Short-Term Income Fund Class A	74254V562	SRHQX	2.25		.15	0.64000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Class C	74254V554	STCCX		1.00	1.00	1.62000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Institutional Class	74254U440	PSHIX				0.41000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class A	74254T369	PLLAX	5.50		.25	1.19000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class R6	74256W550	PSMLX				0.77000		SELL ONLY
Principal Funds	Principal SmallCap Fund Institutional Class	74253Q564	PSLIX				0.90000		SELL ONLY
Principal Funds	Principal SmallCap Growth Fund I Class R-6	742537574	PCSMX				0.89000		SELL ONLY
Principal Funds	Principal SmallCap Growth Fund I Institutional Class	74253J461	PGRTX				1.02000		SELL ONLY
Principal Funds	Principal SmallCap S&P 600 Index Fund Class R6	74256W543	PSPIX				0.17000		SELL ONLY
Principal Funds	Principal SmallCap S&P 600 Index Fund Institutional Class	74253Q523	PSSIX				0.25000		SELL ONLY
Principal Funds	Principal SmallCap Value Fund II Class R-6	742537566	PSMVX				0.96000		SELL ONLY
Principal Funds	Principal SmallCap Value Fund II Institutional Class	74254R694	PPVIX				1.11000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income Fund Class A	74255L753	PMDAX	5.50		.25	1.19000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income Fund Class C	74255L613	PMDDX		1.00	1.00	2.01000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income Fund Institutional Class	74255L738	PMDIX				0.89000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income Fund R6	74256W469	PMDHX				0.79000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class A	74254T252	PPSAX	3.75		.25	1.05000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class C	74254U614	PRFCX		1.00	1.00	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
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class Institutional	74253Q416	PPSIX				0.81000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class R-6	74256W485	PPREX				0.70000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Balanced Portfolio Class A	74254V547	SABPX	5.50		.25	1.12000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Balanced Portfolio Class C	74254V521	SCBPX		1.00	1.00	1.90000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Balanced Portfolio Institutional Class	74254U424	PSBIX				0.80000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Balanced Fund Class A	74254V513	SAIPX	5.50		.25	1.07000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Balanced Fund Class C	74254V489	SCIPX		1.00	1.00	1.87000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Balanced Fund Institutional Class	74254U341	PCCIX				0.76000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Growth Fund Class A	74254V471	SAGPX	5.50		.25	1.15000		BUY,SELL
Principal Funds	Principal Strategic Asset Management Conservative Growth Fund Class C	74254V455	SCGPX		1.00	1.00	1.95000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Growth Fund Institutional Class	74254V315	PCWIX				0.83000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Flexible Income Fund Class A	74254V448	SAUPX	3.75		.25	1.01000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Flexible Income Fund Class C	74254V422	SCUPX		1.00	1.00	1.80000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Flexible Income Fund Institutional Class	74254U192	PIFIX				0.72000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Strategic Growth Fund Class A	74254V414	SACAX	5.50		.25	1.19000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Strategic Growth Fund Class C	74254V380	SWHC X		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
Principal Funds	Principal Strategic Asset Management Strategic Growth Fund Institutional Class	74254V109	PSWIX				0.86000		SELL ONLY
Principal Funds	Principal Tax-Exempt Bond Fund Class C	74254V877	PTBCX		1.00	1.00	1.74000		SELL ONLY
Principal Funds	Principal Tax-Exempt Bond Fund Institutional Class	742537434	PITEX				0.64000		SELL ONLY