

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				0.66000		SELL ONLY
Oakmark	Oakmark Bond Fund Institutional Class	413838632	OANCX				0.67000		SELL ONLY
Oakmark	Oakmark Bond Fund Investor Class	413838483	OAKCX				0.84000		SELL ONLY
Oakmark	Oakmark Bond Fund R6 Class	413838541	OAZCX				0.57000		SELL ONLY
Oakmark	Oakmark Equity and Income Fund Class Advisor	413838772	OAYBX				0.62000		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				0.85000		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				0.66000		SELL ONLY
Oakmark	Oakmark Fund Investor Class	413838103	OAKMX				0.89000		SELL ONLY
Oakmark	Oakmark Fund R6 Class	413838624	OAZMX				0.62000		SELL ONLY
Oakmark	Oakmark Global Fund Class Advisor	413838681	OAYGX				0.93000		SELL ONLY
Oakmark	Oakmark Global Fund Class Institutional	413838673	OANGX				0.89000		SELL ONLY
Oakmark	Oakmark Global Fund Investor Class	413838830	OAKGX				1.12000		SELL ONLY
Oakmark	Oakmark Global Fund R6 Class	413838590	OAZGX				0.86000		SELL ONLY
Oakmark	Oakmark Global Select Fund Class Advisor	413838756	OAYW X				0.96000		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				1.13000		SELL ONLY
Oakmark	Oakmark Global Select Fund R6 Class	413838582	OAZWX				0.84000		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				1.17000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Class Institutional	413838657	OANEX				1.08000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund Investor Class	413838509	OAKEX				1.33000		SELL ONLY
Oakmark	Oakmark International Small Cap Fund R6 Class	413838566	OAZEX				1.06000		SELL ONLY
Oakmark	Oakmark Select Fund Class Advisor	413838715	OAYLX				0.87000		SELL ONLY
Oakmark	Oakmark Select Fund Class Institutional	413838699	OANLX				0.76000		SELL ONLY
Oakmark	Oakmark Select Fund Investor Class	413838608	OAKLX				0.99000		SELL ONLY
Oakmark	Oakmark Select Fund R6 Class	413838616	OAZLX				0.73000		SELL ONLY
Parnassus	Parnassus Core Equity Fund - Institutional Shares	701769408	PRILX				0.61000		SELL ONLY
Parnassus	Parnassus Core Equity Fund - Investor Shares	701769101	PRBLX				0.81000		SELL ONLY
Parnassus	Parnassus Growth Equity Fund Institutional Shares	701765851	PFPGX				1.18000		SELL ONLY
Parnassus	Parnassus Growth Equity Fund Investor Shares	701765802	PFGEX				1.40000		SELL ONLY
Parnassus	Parnassus International Equity Fund Institutional Shares	701765836	PFPEX				0.99000		SELL ONLY
Parnassus	Parnassus International Equity Fund Investor Shares	701765844	PRBRX				1.20000		SELL ONLY
Parnassus	Parnassus Mid Cap Fund	701765885	PARMX				0.95000		SELL ONLY
Parnassus	Parnassus Mid Cap Fund Institutional Shares	701765505	PFPMX				0.78000		SELL ONLY
Parnassus	Parnassus Mid Cap Growth Fund - Institutional	701765307	PFPRX				0.70000		SELL ONLY
Parnassus	Parnassus Mid Cap Growth Fund - Investor	701765109	PARNX				0.81000		SELL ONLY
Parnassus	Parnassus Value Equity Fund Institutional Shares	701765406	PFPWX				0.71000		SELL ONLY

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Parnassus	Parnassus Value Equity Fund Investor Shares	701765869	PARWX				0.91000		SELL ONLY
Pear Tree Funds	Pear Tree Essex Environmental Opportunities Fund Institutional Shares	70472Q716	GEOSX				1.29000		SELL ONLY
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				1.30000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportunities Fund Ordinary Shares	70472Q757	QISOX			.25	1.51000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris International Opportunities Fund R6 Shares	70472Q732	QISRX				1.13000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Small Cap Fund Institutional Class	70472Q302	QBNAX				1.20000		SELL ONLY
Pear Tree Funds	Pear Tree Polaris Small Cap Fund Ordinary Class	70472Q401	USBNX			.25	1.42000		SELL ONLY
Pear Tree Funds	Pear Tree Quality Fund Institutional Shares	70472Q104	QGIAX				1.27000		SELL ONLY
Pear Tree Funds	Pear Tree Quality Fund Ordinary Shares	70472Q203	USBOX			.25	1.52000		SELL ONLY
PGIM Investments	PGIM 60/40 Allocation Fund-Class R6	74440V724	PALDX				0.51000		SELL ONLY
PGIM Investments	PGIM Absolute Return Bond Fund- Class A	74441J852	PADAX	3.25		.25	0.95000		BUY,SELL
PGIM Investments	PGIM Absolute Return Bond Fund- Class C	74441J845	PADCX		1.00	1.00	1.76000		SELL ONLY
PGIM Investments	PGIM Absolute Return Bond Fund- Class R6	74441J837	PADQX				0.64000		SELL ONLY

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PGIM Investments	PGIM Absolute Return Bond Fund- Class Z	74441J829	PADZX				0.73000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class A	74437E883	PIBAX	3.25		.30	1.12000		BUY,SELL
PGIM Investments	PGIM Balanced Fund- Class C	74437E867	PABCX		1.00	1.00	1.88000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class R	74437E636	PALRX			.75	20.46000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class R6	74437E461	PIBQX				0.73000		SELL ONLY
PGIM Investments	PGIM Balanced Fund- Class Z	74437E859	PABFX				0.84000		SELL ONLY
PGIM Investments	PGIM California Muni Income Fund-Class C	74440X308	PCICX		1.00	1.00	1.69000		SELL ONLY
PGIM Investments	PGIM California Muni Income Fund-Class R6	74440X605	PCIQX				0.49000		SELL ONLY
PGIM Investments	PGIM California Muni Income Fund-Class Z	74440X407	PCIZX				0.55000		SELL ONLY
PGIM Investments	PGIM Conservative Retirement Spending Fund Class R6	744336520	PGFCX				3.54000		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	30.45000		SELL ONLY
PGIM Investments	PGIM Core Bond Fund- Class R6	875921744	TPCQX				0.36000		SELL ONLY
PGIM Investments	PGIM Core Bond Fund- Class Z	875921801	TAIBX				0.46000		SELL ONLY
PGIM Investments	PGIM Core Conservative Bond Fund- Class R6	74440E888	PQCNX				0.57000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Hard Currency Fund-Class A	743969479	PDHAX	3.25		.25	7.27000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Hard Currency Fund-Class C	743969461	PDHCX		1.00	1.00	74.81000		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				1.06000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class A	743969750	EMDAX	3.25		.25	1.89000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class C	743969743	EMDCX		1.00	1.00	15.27000		SELL ONLY
PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class R6	743969735	EMDQX				1.21000		SELL ONLY

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PGIM Investments	PGIM Emerging Markets Debt Local Currency Fund-Class Z	743969727	EMDZX				1.17000		SELL ONLY
PGIM Investments	PGIM Enhanced Retirement Spending Fund Class R6	744336496	PGFEX				3.47000		SELL ONLY
PGIM Investments	PGIM Floating Rate Income Fund- Class A	74439V602	FRFAX	2.25		.25	1.20000		BUY,SELL
PGIM Investments	PGIM Floating Rate Income Fund- Class C	74439V701	FRFCX		1.00	1.00	1.96000		SELL ONLY
PGIM Investments	PGIM Floating Rate Income Fund- Class R6	74439V883	PFRIX				0.85000		SELL ONLY
PGIM Investments	PGIM Floating Rate Income Fund- Class Z	74439V800	FRFZX				0.97000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class A	744336108	PURAX	5.50		.30	1.38000		BUY,SELL
PGIM Investments	PGIM Global Real Estate Fund- Class C	744336306	PURCX		1.00	1.00	2.17000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R	744336405	PURRX			.75	1.91000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R2	744336678	PUREX			.25	1.50000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R4	744336660	PURGX				1.52000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class R6	744336876	PGRQX				0.82000		SELL ONLY
PGIM Investments	PGIM Global Real Estate Fund- Class Z	744336504	PURZX				0.97000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class A	74439A707	PHEAX	3.25		.25	3.00000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class C	74439A806	PHECX		1.00	1.00	17.34000		SELL ONLY
PGIM Investments	PGIM Global Total Return (USD Hedged) Fund- Class R6	74439A889	PHEQX				0.82000		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	0.95000		BUY,SELL

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PGIM Investments	PGIM Global Total Return Fund - Class C	74439A301	PCTRX		1.00	1.00	1.79000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class R2	74439A863	PGTOX			.25	1.31000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class R4	74439A855	PGTSX				0.85000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class R6	74439A509	PGTQX				0.53000		SELL ONLY
PGIM Investments	PGIM Global Total Return Fund - Class Z	74439A400	PZTRX				0.65000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class A	74439V107	PGVAX	3.25		.25	0.95000		BUY,SELL
PGIM Investments	PGIM Government Income Fund- Class C	74439V305	PRICX		1.00	1.00	2.08000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class R	74439V503	JDRVX			.75	1.56000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class R6	74439V875	PGIQX				0.58000		SELL ONLY
PGIM Investments	PGIM Government Income Fund- Class Z	74439V404	PGVZX				0.69000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class A	74440Y108	PBHAX	3.25		.25	0.74000		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	1.30000		SELL ONLY
PGIM Investments	PGIM High Yield Fund- Class R2	74442J604	PHYEX			.25	0.95000		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	1.82000		BUY,SELL
PGIM Investments	PGIM Income Builder Fund-Class C	74442X306	PCCFX		1.00	1.00	2.54000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class R	74442X405	PCLRX			.75	3.28000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class R6	74442X769	PCGQX				1.63000		SELL ONLY
PGIM Investments	PGIM Income Builder Fund-Class Z	74442X504	PDCZX				1.51000		SELL ONLY
PGIM Investments	PGIM Jennison Blend Fund- Class A	74441T108	PBQAX	5.50		.30	0.91000		BUY,SELL
PGIM Investments	PGIM Jennison Blend Fund- Class C	74441T306	PRECX		1.00	1.00	1.80000		SELL ONLY
PGIM Investments	PGIM Jennison Blend Fund- Class R6	74441T603	PBQQX				1.59000		SELL ONLY
PGIM Investments	PGIM Jennison Blend Fund- Class Z	74441T405	PEQZX				0.64000		SELL ONLY

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PGIM Investments	PGIM Jennison Diversified Growth Fund-Class A	74440V104	TBDAX	5.50		.30	0.91000		BUY,SELL
PGIM Investments	PGIM Jennison Diversified Growth Fund-Class C	74440V302	TBDCX		1.00	1.00	1.87000		SELL ONLY
PGIM Investments	PGIM Jennison Diversified Growth Fund-Class R6	74440V716	TBDQX				0.84000		SELL ONLY
PGIM Investments	PGIM Jennison Diversified Growth Fund-Class Z	74440V690	TBDZX				0.68000		SELL ONLY
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class A	743969644	PDEAX	5.50		.30	1.53000		BUY,SELL
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class C	743969636	PDECX		1.00	1.00	2.70000		SELL ONLY
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class R6	743969628	PDEQX				1.04000		SELL ONLY
PGIM Investments	PGIM Jennison Emerging Markets Equity Opportunities Fund- Class Z	743969610	PDEZX				1.15000		SELL ONLY
PGIM Investments	PGIM Jennison Energy Infrastructure Fund-Class A	74440G701	PRPAX	5.50		.30	1.51000		SELL ONLY
PGIM Investments	PGIM Jennison Energy Infrastructure Fund-Class C	74440G800	PRPCX		1.00	1.00	2.20000		SELL ONLY
PGIM Investments	PGIM Jennison Energy Infrastructure Fund-Class R6	74440G859	PRPQX				1.10000		SELL ONLY
PGIM Investments	PGIM Jennison Energy Infrastructure Fund-Class Z	74440G883	PRPZX				1.18000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class A	74441P106	PFSAX	5.50		.30	1.32000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class C	74441P304	PUFCX		1.00	1.00	2.12000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class R	74441P783	PSSRX			.75	1.90000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class R6	74441P734	PFSQX				1.83000		SELL ONLY
PGIM Investments	PGIM Jennison Financial Services Fund-Class Z	74441P403	PFSZX				1.05000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Growth Fund-Class A	74440K504	SPFAX	5.50		.30	1.09000		BUY,SELL

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PGIM Investments	PGIM Jennison Focused Growth Fund-Class C	74440K702	SPFCX		1.00	1.00	1.83000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Growth Fund-Class R6	74440K751	PSGQX				0.70000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Growth Fund-Class Z	74440K868	SPFZX				0.78000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class A	74437E503	PJIAx	5.50		.30	1.10000		BUY,SELL
PGIM Investments	PGIM Jennison Focused Value Fund-Class C	74437E701	PJGCX		1.00	1.00	2.24000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class R	74437E644	PJORX			.75	4.02000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class R6	74437E552	PJOQX				0.81000		SELL ONLY
PGIM Investments	PGIM Jennison Focused Value Fund-Class Z	74437E800	PJGZX				0.82000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class A	74441L808	SPQAX	5.50		.30	1.21000		BUY,SELL
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class C	74441L873	AGOCX		1.00	1.00	2.10000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class R	74441L790	PJERX			.75	1.76000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class R6	74441L816	PJIQX				0.89000		SELL ONLY
PGIM Investments	PGIM Jennison Global Equity Income Fund- Class Z	74441L832	JDEZX				0.89000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class A	743969792	PGJAX	5.50		.30	2.07000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class C	743969784	PGJCX		1.00	1.00	3.04000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class R6	743969560	PGJQX				1.56000		SELL ONLY
PGIM Investments	PGIM Jennison Global Infrastructure Fund- Class Z	743969776	PGJZX				1.73000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class A	743969719	PRJAX	5.50		.30	1.20000		BUY,SELL

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PGIM Investments	PGIM Jennison Global Opportunities Fund-Class C	743969693	PRJCX		1.00	1.00	1.91000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class R2	743969438	PRJBX			.25	1.36000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class R4	743969420	PRJDX				2.34000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class R6	743969594	PRJQX				0.82000		SELL ONLY
PGIM Investments	PGIM Jennison Global Opportunities Fund-Class Z	743969685	PRJZX				0.92000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class A	74437E107	PJFAX	5.50		.30	0.97000		BUY,SELL
PGIM Investments	PGIM Jennison Growth Fund- Class C	74437E305	PJFCX		1.00	1.00	1.69000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R	74437E651	PJGRX			.75	1.45000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R2	74437E420	PJFOX			.25	1.20000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R4	74437E412	PJFPX				0.86000		SELL ONLY
PGIM Investments	PGIM Jennison Growth Fund- Class R6	74437E479	PJFQX				0.57000		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	1.13000		SELL ONLY
PGIM Investments	PGIM Jennison Health Sciences Fund-Class C	74441P700	PHLCX		1.00	1.00	1.96000		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
PGIM Investments	PGIM Jennison International Opportunities Fund- Class A	743969677	PWJAX	5.50		.30	1.24000		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	1.70000		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

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PGIM Investments	PGIM Jennison International Opportunities Fund-Class R2	743969412	PWJBX			.25	1.37000		SELL ONLY
PGIM Investments	PGIM Jennison International Opportunities Fund-Class R4	743969396	PWJDX				1.18000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class A	744336561	PAHWX	5.50		.25	7.45000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class C	744336553	PAILX		1.00	1.00	34.28000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class R6	744336538	PAIOX				4.18000		SELL ONLY
PGIM Investments	PGIM Jennison International Small-Mid Cap Opportunities Fund Class Z	744336546	PAINX				4.26000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class A	74441C105	PEEAX	5.50		.30	1.04000		BUY,SELL
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class C	74441C303	PEGCX		1.00	1.00	1.97000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class R	74441C600	JDERX			.75	1.51000		SELL ONLY
PGIM Investments	PGIM Jennison Mid-Cap Growth Fund-Class R2	74441C865	PEGEX			.25	1.28000		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				0.72000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class A	74441K107	PGNAX	5.50		.30	1.26000		BUY,SELL
PGIM Investments	PGIM Jennison Natural Resources Fund - Class C	74441K305	PNRCX		1.00	1.00	2.03000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class R	74441K404	JNRRX			.75	1.78000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class R6	74441K602	PJNQX				0.83000		SELL ONLY
PGIM Investments	PGIM Jennison Natural Resources Fund - Class Z	74441K503	PNRZX				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
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class A	744336611	PAHSX	5.50		.25	6.45000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class C	744336595	PAHTX		1.00	1.00	27.77000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class R6	744336579	PAHVX				3.50000		SELL ONLY
PGIM Investments	PGIM Jennison NextGeneration Global Opportunities Fund Class Z	744336587	PAHUX				3.69000		SELL ONLY
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class A	74440V823	PJDAX	5.50		.30	1.45000		BUY,SELL
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class C	74440V815	PJDCX		1.00	1.00	2.18000		SELL ONLY
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class R6	74440V682	PJDQX				1.72000		SELL ONLY
PGIM Investments	PGIM Jennison Rising Dividend Fund-Class Z	74440V799	PJDZX				1.30000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class A	74441N101	PGOAX	5.50		.30	1.13000		BUY,SELL
PGIM Investments	PGIM Jennison Small Company Fund-Class C	74441N309	PSCCX		1.00	1.00	2.00000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class R	74441N507	JSCRX			.75	1.56000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class R2	74441N861	PSCHX			.25	1.38000		SELL ONLY
PGIM Investments	PGIM Jennison Small Company Fund-Class R4	74441N853	PSCJX				1.11000		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 Small-Cap Core Equity Fund-Class R6	74440E805	PQJCX				2.22000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class A	744336652	PGKAX	5.50		.30	1.89000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class C	744336645	PGKCX		1.00	1.00	3.01000		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 Technology Fund Class R6	744336629	PGKRX				1.32000		SELL ONLY
PGIM Investments	PGIM Jennison Technology Fund Class Z	744336637	PGKZX				1.45000		SELL ONLY
PGIM Investments	PGIM Jennison Utility Fund- Class A	74441P858	PRUAX	5.50		.30	0.82000		BUY,SELL
PGIM Investments	PGIM Jennison Utility Fund- Class C	74441P833	PCUFX		1.00	1.00	1.61000		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				0.49000		SELL ONLY
PGIM Investments	PGIM Jennison Utility Fund- Class Z	74441P817	PRUZX				0.56000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class A	74440N102	PBEAX	5.50		.30	0.90000		BUY,SELL
PGIM Investments	PGIM Jennison Value Fund- Class C	74440N300	PEICX		1.00	1.00	1.84000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class R	74440N607	JDVRX			.75	1.45000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class R6	74440N888	PJVQX				0.51000		SELL ONLY
PGIM Investments	PGIM Jennison Value Fund- Class Z	74440N805	PEIZX				0.63000		SELL ONLY
PGIM Investments	PGIM Moderate Retirement Spending Fund Class R6	744336512	PGFMX				3.49000		SELL ONLY
PGIM Investments	PGIM Muni High Income Fund-Class C	74440M302	PHICX		1.00	1.00	1.67000		SELL ONLY
PGIM Investments	PGIM Muni High Income Fund-Class R6	74440M609	PHIQX				0.56000		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				0.42000		SELL ONLY
PGIM Investments	PGIM National Muni Fund- Class C	74441U303	PNMCX		1.00	1.00	1.56000		SELL ONLY
PGIM Investments	PGIM National Muni Fund- Class R6	74441U600	PNMQX				0.33000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Commodity Strategies Fund- Class R6	74440E862	PQCMX				0.89000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Commodity Strategies Fund Class Z	74440E854	PQCZX				1.68000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Emerging Markets Equity Fund-Class R6	74440E706	PQEMX				1.49000		SELL ONLY
PGIM Investments	PGIM Quant Solutions International Developed Markets Index Fund-Class R6	74440E607	PQDMX				0.78000		SELL ONLY
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class A	743969859	PJRAX	5.50		.30	1.59000		BUY,SELL
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class C	743969875	PJRCX		1.00	1.00	3.56000		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 R6	743969578	PJRQX				0.99000		SELL ONLY
PGIM Investments	PGIM Quant Solutions International Equity Fund- Class Z	743969883	PJIZX				1.23000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Core Equity Fund- Class A	74441J100	PTMAX	5.50		.30	0.79000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Large-Cap Core Equity Fund- Class C	74441J308	PTMCX		1.00	1.00	1.68000		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				0.56000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class A	74441F108	PSIAX	3.25		.30	0.58000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class C	74441F306	PSICX		1.00	1.00	1.33000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Large-Cap Index Fund - Class R6	74441F702	PQSIX				0.19000		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	1.31000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Large-Cap Value Fund- Class C	74440K306	SUVCX		1.00	1.00	2.46000		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
PGIM Investments	PGIM Quant Solutions Mid-Cap Index Fund- Class R6	74440E508	PQCCX				1.50000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class A	74441L105	SPRAX	5.50		.30	1.32000		BUY,SELL

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 C	74441L303	NCBVX		1.00	1.00	2.81000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R	74441L782	SDVRX			.75	5.93000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R2	74441L758	PMVEX			.25	25.08000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R4	74441L741	PMVFX				2.28000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class R6	74441L824	PMVQX				0.88000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Mid-Cap Value Fund- Class Z	74441L709	SPVZX				1.00000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class A	875921785	TSVAX	5.50		.30	1.15000		BUY,SELL
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class C	875921710	TRACX		1.00	1.00	2.77000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R	875921843	TSVRX			.75	1.58000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R2	875921611	PSVDX			.25	5.21000		SELL ONLY
PGIM Investments	PGIM Quant Solutions Small-Cap Value Fund- Class R4	875921595	PSVKX				36.05000		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				0.81000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class A	74440K819	PUDAX	5.50		.30	2.39000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class C	74440K785	PUDCX		1.00	1.00	3.57000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class R6	74440K744	PUDQX				1.71000		SELL ONLY
PGIM Investments	PGIM Real Assets Fund- Class Z	74440K777	PUDZX				1.86000		SELL ONLY
PGIM Investments	PGIM Real Estate Income Fund- Class A	74441J761	PRKAX	5.50		.30	2.96000		SELL ONLY
PGIM Investments	PGIM Real Estate Income Fund- Class C	74441J753	PRKCX		1.00	1.00	7.62000		SELL ONLY
PGIM Investments	PGIM Real Estate Income Fund- Class R6	74441J670	PRKQX				1.23000		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 Z	74441J746	PRKZX				2.83000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class A	74441F801	SCFOX	3.25		.25	1.00000		BUY,SELL
PGIM Investments	PGIM Securitized Credit Fund Class C	74441F884	SCFVX		1.00	1.00	1.82000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class R6	74441F868	SCFQX				1.10000		SELL ONLY
PGIM Investments	PGIM Securitized Credit Fund Class Z	74441F876	SCFZX				0.77000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class A	74441J811	SREAX	5.50		.30	1.63000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class C	74441J795	SRECX		1.00	1.00	2.75000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class R6	74441J787	SREQX				1.04000		SELL ONLY
PGIM Investments	PGIM Select Real Estate Fund- Class Z	74441J779	SREZX				1.10000		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	0.66000		BUY,SELL
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class C	74440B868	SDMCX		1.00	1.00	1.52000		SELL ONLY
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class R6	74440B850	SDMQX				0.35000		SELL ONLY
PGIM Investments	PGIM Short Duration Multi-Sector Bond Fund- Class Z	74440B843	SDMZX				0.45000		SELL ONLY
PGIM Investments	PGIM Short Duration Muni Fund- Class C	744336827	PDSCX		1.00	1.00	1.73000		SELL ONLY
PGIM Investments	PGIM Short Duration Muni Fund- Class R6	744336744	PDSQX				0.45000		SELL ONLY
PGIM Investments	PGIM Short Duration Muni Fund- Class Z	744336819	PDSZX				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-Term Corporate Bond Fund-Class A	74441R102	PBSMX	2.25		.25	0.72000		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	1.30000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund-Class R2	74441R805	PIFEX			.25	1.71000		SELL ONLY
PGIM Investments	PGIM Short-Term Corporate Bond Fund-Class R4	74441R888	PIFGX				1.18000		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				0.50000		SELL ONLY
PGIM Investments	PGIM Strategic Bond Fund- Class A	74440K678	PUCAX	3.25		.25	0.99000		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				0.65000		SELL ONLY
PGIM Investments	PGIM Strategic Bond Fund- Class Z	74440K652	PUCZX				0.75000		SELL ONLY
PGIM Investments	PGIM TIPS Fund- Class R6	74440E870	PQTSX				0.49000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class A	74440B108	PDBAX	3.25		.25	0.77000		BUY,SELL
PGIM Investments	PGIM Total Return Bond Fund -Class C	74440B306	PDBCX		1.00	1.00	1.51000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class R	74440B801	DTBRX			.75	1.28000		SELL ONLY
PGIM Investments	PGIM Total Return Bond Fund -Class R2	74440B819	PDBRX			.25	0.97000		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				0.50000		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	5.20000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class C	72200Q216	PAUCX		1.00	1.00	5.95000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Class I-2	72201M438	PAUPX				4.90000		SELL ONLY
PIMCO	PIMCO All Asset All Authority Fund Institutional Class	72200Q182	PAUIX				4.80000		SELL ONLY
PIMCO	PIMCO All Asset Fund Administrative Class	722005618	PAALX			.25	2.16500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class A	72200Q711	PASAX	3.75		.25	2.31500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class C	72200Q687	PASCX		1.00	1.00	3.06500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class I-2	72201M867	PALPX				2.01500		SELL ONLY
PIMCO	PIMCO All Asset Fund Class R	72201F789	PATRX			.50	2.56500		SELL ONLY
PIMCO	PIMCO All Asset Fund Institutional Class	722005626	PAAIX				1.91500		SELL ONLY
PIMCO	PIMCO California Intermediate Municipal Bond Fund Class C	72201P332	PCFCX		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 Opportunistic Value Fund Institutional Shares	72202G323	GCMFX				0.60000		SELL ONLY
PIMCO	PIMCO California Short Duration Municipal Income Fund Class A	72201F649	PCDAX	2.25		.25	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
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	0.94000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Class C	72202G190	PCECX		1.00	1.00	1.69000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund I-2	72202G224	PCEPX				0.64000		SELL ONLY
PIMCO	PIMCO Climate Bond Fund Institutional Class	72202G216	PCEIX				0.54000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Class A	72201P159	PCLAX	5.50		.25	1.38000		BUY,SELL
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Class C	72201P142	PCPCX		1.00	1.00	2.13000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Class I-2	72201P167	PCLPX				1.08000		SELL ONLY
PIMCO	PIMCO CommoditiesPLUS? Strategy Fund Institutional Class	72201P175	PCLIX				0.98000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Administrative Class	722005659	PCRRX			.25	1.23000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class A	722005584	PCRAX	5.50		.25	1.38000		BUY,SELL
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class C	722005568	PCRCX		1.00	1.00	2.13000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class I-2	72201M842	PCRPX				1.08000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Class R	72201P225	PCSRX			.50	1.63000		SELL ONLY
PIMCO	PIMCO CommodityRealReturn Strategy Fund Institutional Class	722005667	PCRIX				0.98000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund Class A	72201W451	PZCRX	3.75		.25	1.49000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund Class C	72201W444	PCCRX		1.00	1.00	2.24000		SELL ONLY
PIMCO	PIMCO Credit Opportunities Bond Fund Class I-2	72201W428	PPCRX				1.19000		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 Institutional Class	72201W394	PCARX				1.09000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Administrative Class	72200Q570	PDAAX			.25	1.06000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Class A	72200Q661	PDVAX	3.75		.25	1.21000		BUY,SELL
PIMCO	PIMCO Diversified Income Fund Class C	72200Q646	PDICX		1.00	1.00	1.96000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Class I-2	72201M826	PDVPX				0.91000		SELL ONLY
PIMCO	PIMCO Diversified Income Fund Institutional Class	693391880	PDIIX				0.81000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Class A	72201T748	PQIZX	5.50		.25	1.28000		BUY,SELL
PIMCO	PIMCO Dividend and Income Fund Class C	72201T730	PQICX		1.00	1.00	2.03000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Class I2	72201T714	PQIPX				1.03000		SELL ONLY
PIMCO	PIMCO Dividend and Income Fund Institutional Class	72201T672	PQIIX				0.93000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class A	72201M479	PUBAX	3.75		.25	1.24000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class C	72201M297	PUBCX		1.00	1.00	1.99000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class I-2	72201M453	PUCPX				0.94000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Class R	72201M289	PUBRX			.50	1.49000		SELL ONLY
PIMCO	PIMCO Dynamic Bond Fund Institutional Class	72201M487	PFIUX				0.84000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Class A	693391575	PAEMX	3.75		.25	1.56000		BUY,SELL
PIMCO	PIMCO Emerging Markets Bond Fund Class C	693391591	PEBCX		1.00	1.00	2.31000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Class I-2	72201M818	PEMPX				1.29000		SELL ONLY
PIMCO	PIMCO Emerging Markets Bond Fund Institutional Class	693391559	PEBIX				1.19000		SELL ONLY
PIMCO	PIMCO Emerging Markets Corporate Bond Fund Institutional Class	72201P522	PEMIX				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
PIMCO	PIMCO Emerging Markets Currency and Short-Term Investments Fund Class A	72201F102	PLMAX	3.75		.25	1.40000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and Short-Term Investments Fund Class I-2	72201M834	PLMPX				1.10000		SELL ONLY
PIMCO	PIMCO Emerging Markets Currency and Short-Term Investments Fund Institutional Class	72201F409	PLMIX				1.00000		SELL ONLY
PIMCO	PIMCO Emerging Markets Full Spectrum Bond Fund Institutional Class	72201U562	PFSIX				1.54000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Class A	72201F425	PELAX	3.75		.25	2.00000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Class C	72201F391	PELCX		1.00	1.00	2.75000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Class I-2	72201M396	PELPX				1.70000		SELL ONLY
PIMCO	PIMCO Emerging Markets Local Currency and Bond Fund Institutional Class	72201F516	PELBX				1.60000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Class A	72202G133	PEGAX	3.75		.25	1.61000		BUY,SELL
PIMCO	PIMCO ESG Income Fund Class C	72202G125	PEGBX		1.00	1.00	2.36000		SELL ONLY
PIMCO	PIMCO ESG Income Fund I-2	72202G158	PEGPX				1.31000		SELL ONLY
PIMCO	PIMCO ESG Income Fund Institutional	72202G166	PEGIX				1.21000		SELL ONLY
PIMCO	PIMCO Extended Duration Fund Class I-2	72201M388	PEDPX				6.90000		SELL ONLY
PIMCO	PIMCO Extended Duration Fund Institutional Class	72201F599	PEDIX				6.80000		SELL ONLY
PIMCO	PIMCO Global Advantage Strategy Bond Fund Class A	72201M321	PGSAX	3.75		.25	1.39000		SELL ONLY
PIMCO	PIMCO Global Advantage Strategy Bond Fund Institutional Class	72201M446	PSAIX				0.99000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) Class A	693390346	PAIIX	3.75		.25	0.96000		BUY,SELL
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) Class I-2	72201M750	PGNPX				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 Global Bond Opportunities Fund (U.S. Dollar-Hedged) ClassC	693390320	PCIIX		1.00	1.00	1.71000		SELL ONLY
PIMCO	PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged) Institutional Class	693390130	PGBIX				0.61000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Class A	72201P407	PGMAX	5.50		.25	1.50000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Class C	72201P506	PGMCX		1.00	1.00	2.25000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Class I-2	72201P605	PGAPX				1.20000		SELL ONLY
PIMCO	PIMCO Global Core Asset Allocation Fund Institutional Class	72201P100	PGAIX				1.10000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities Fund Class A	693391476	PAGNX	3.75		.25	2.29000		BUY,SELL
PIMCO	PIMCO GNMA and Government Securities Fund Class C	693391492	PCGNX		1.00	1.00	3.04000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities Fund Class I-2	72201M743	PPGNX				1.99000		SELL ONLY
PIMCO	PIMCO GNMA and Government Securities Fund Institutional Class	693391450	PDMIX				1.89000		SELL ONLY
PIMCO	PIMCO High Yield Fund Administrative Class	693390650	PHYAX			.25	0.88000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class A	693390379	PHDAX	3.75		.25	0.98000		BUY,SELL
PIMCO	PIMCO High Yield Fund Class C	693390353	PHDCX		1.00	1.00	1.73000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class I-2	72201M735	PHLPX				0.73000		SELL ONLY
PIMCO	PIMCO High Yield Fund Class R	72200Q794	PHYRX			.50	1.23000		SELL ONLY
PIMCO	PIMCO High Yield Fund Institutional Class	693390841	PHIYX				0.63000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund Class C	72201F524	PYMCX		1.00	1.00	1.60000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund Class I-2	72201M727	PYMPX				0.65000		SELL ONLY
PIMCO	PIMCO High Yield Municipal Bond Fund Institutional Class	72201F672	PHMIX				0.55000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Class A	72201W600	PHSAX	3.75		.25	1.04000		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 C	72201W709	PHSCX		1.00	1.00	1.79000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Class I-2	72201W303	PHSPX				0.79000		SELL ONLY
PIMCO	PIMCO High Yield Spectrum Fund Institutional Class	72201W204	PHSIX				0.69000		SELL ONLY
PIMCO	PIMCO Income Fund Administrative Class	72201F482	PIINX			.25	0.79000		SELL ONLY
PIMCO	PIMCO Income Fund Class A	72201F474	PONAX	3.75		.25	0.94000		BUY,SELL
PIMCO	PIMCO Income Fund Class C	72201F466	PONCX		1.00	1.00	1.69000		SELL ONLY
PIMCO	PIMCO Income Fund Class I-2	72201M719	PONPX				0.64000		SELL ONLY
PIMCO	PIMCO Income Fund Class R	72201F441	PONRX			.50	1.19000		SELL ONLY
PIMCO	PIMCO Income Fund Institutional Class	72201F490	PIMIX				0.54000		SELL ONLY
PIMCO	PIMCO Inflation Response Multi-Asset Fund Class A	72201W386	PZRMX	5.50		.25	2.57000		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	0.82000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class A	693391245	PFOAX	3.75		.25	0.97000		BUY,SELL
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class C	693391260	PFOCX		1.00	1.00	1.72000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class I-2	72201M784	PFBPX				0.67000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Class R	72200Q828	PFRRX			.50	1.22000		SELL ONLY
PIMCO	PIMCO International Bond Fund (U.S. Dollar-Hedged) Institutional Class	693390882	PFORX				0.57000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Administrative Class	72201F771	PFUUX			.25	0.96000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Class A	722005196	PFUAX	3.75		.25	1.11000		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 International Bond Fund (Unhedged) Class C	722005188	PFRCX		1.00	1.00	1.86000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Class I-2	72201M776	PFUPX				0.81000		SELL ONLY
PIMCO	PIMCO International Bond Fund (Unhedged) Institutional Class	722005220	PFUIX				0.71000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Administrative Class	722005592	PGCAX			.25	1.20000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Class A	722008307	PBDAX	3.75		.25	1.35000		BUY,SELL
PIMCO	PIMCO Investment Grade Credit Bond Fund Class C	722008406	PBDCX		1.00	1.00	2.10000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Class I-2	72201M685	PBDPX				1.05000		SELL ONLY
PIMCO	PIMCO Investment Grade Credit Bond Fund Institutional Class	722005816	PIGIX				0.95000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Class A	72202G372	PLRAX	3.75		.25	4.29000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Class C	72202G364	PLRCX		1.00	1.00	5.04000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Class I-2	72201M362	PLRPX				3.99000		SELL ONLY
PIMCO	PIMCO Long Duration Total Return Fund Institutional Class	72201F623	PLRIX				3.89000		SELL ONLY
PIMCO	PIMCO Long-Term Credit Bond Fund Class I-2	72201P621	PLCPX				1.34000		SELL ONLY
PIMCO	PIMCO Long-Term Credit Bond Fund Institutional Class	72201P647	PTCIX				1.24000		SELL ONLY
PIMCO	PIMCO Long-Term Real Return Fund Class I-2	72201W816	PRTPX				2.43000		SELL ONLY
PIMCO	PIMCO Long-Term Real Return Fund Institutional Class	72200Q505	PRAIX				2.33000		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund Class A	693391187	PFGAX	3.75		.25	4.00500		BUY,SELL
PIMCO	PIMCO Long-Term U.S. Government Fund Class C	693391203	PFGCX		1.00	1.00	4.75500		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 Long-Term U.S. Government Fund Class I-2	72201M677	PLTPX				3.75500		SELL ONLY
PIMCO	PIMCO Long-Term U.S. Government Fund Institutional Class	693390205	PGOVX				3.65500		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Class A	72201W758	PSRZX	2.25		.25	1.08000		BUY,SELL
PIMCO	PIMCO Low Duration Credit Fund Class C	72201W741	PSRWX		1.00	1.00	1.83000		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Class I-2	72201W782	PSRPX				0.88000		SELL ONLY
PIMCO	PIMCO Low Duration Credit Fund Institutional Class	72201W790	PSRIX				0.78000		SELL ONLY
PIMCO	PIMCO Low Duration ESG Fund Class I-2	72201W824	PLUPX				0.62000		SELL ONLY
PIMCO	PIMCO Low Duration ESG Fund Institutional Class	693390858	PLDIX				0.52000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Administrative Class	693390767	PLDAX			.25	0.73000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class A	693390411	PTLAX	2.25		.25	0.77000		BUY,SELL
PIMCO	PIMCO Low Duration Fund Class C	693390387	PTLCX		1.00	.55	1.12000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class I-2	72201M669	PLDPX				0.58000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Class R	72200Q869	PLDRX			.50	1.07000		SELL ONLY
PIMCO	PIMCO Low Duration Fund Institutional Class	693390304	PTLDX				0.48000		SELL ONLY
PIMCO	PIMCO Low Duration II Fund Administrative Class	693390668	PDFAX			.25	0.76000		SELL ONLY
PIMCO	PIMCO Low Duration II Fund Institutional Class	693390791	PLDTX				0.51000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Class A	722005162	PFIAX	2.25		.25	0.93000		BUY,SELL
PIMCO	PIMCO Low Duration Income Fund Class C	722005154	PFNCX		1.00	.55	1.23000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Class I-2	72201M792	PFTPX				0.63000		SELL ONLY
PIMCO	PIMCO Low Duration Income Fund Institutional Class	722005170	PFIIX				0.53000		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 Opportunities Fund Class A	72201P738	ATMAX	3.75		.25	0.97000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Class C	72201P720	ATMCX		1.00	1.00	1.72000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Class I-2	72201P753	PUTPX				0.67000		SELL ONLY
PIMCO	PIMCO Low Duration Opportunities Fund Institutional Class	72201P746	PUTIX				0.57000		SELL ONLY
PIMCO	PIMCO Moderate Duration Fund Class I-2	72201P233	PMOPX				1.05000		SELL ONLY
PIMCO	PIMCO Moderate Duration Fund Institutional Class	693390593	PMDRX				0.95000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Class A	72201U679	PMZAX	3.75		.25	2.08000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Class C	72201U661	PMZCX		1.00	1.00	2.83000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Class I-2	72201U646	PMZPX				1.78000		SELL ONLY
PIMCO	PIMCO Mortgage Opportunities and Bond Fund Institutional Class	72201U638	PMZIX				1.68000		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 Opportunistic Value Fund Institutional Shares	72202G299	GNMFX				0.60000		SELL ONLY
PIMCO	PIMCO New York Municipal Bond Fund Class C	72201P340	PBFCX		1.00		1.52500		SELL ONLY
PIMCO	PIMCO New York Municipal Bond Fund Institutional Class	693389710	PNYIX				0.44500		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 Fund Class I-2	72201M347	PNYPX				0.54500		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities Fund Class A	72202E666	PFANX	3.75		.25	1.50000		BUY,SELL
PIMCO	PIMCO Preferred and Capital Securities Fund Class C	72202G281	PFCJX		1.00	1.00	2.25000		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities Fund Class I-2	72202E658	PFPNX				1.25000		SELL ONLY
PIMCO	PIMCO Preferred and Capital Securities Fund Institutional Class	72202E682	PFINX				1.15000		SELL ONLY
PIMCO	PIMCO RAE Emerging Markets Fund Class A	72202L678	PEAFX	3.75		.25	1.11000		BUY,SELL
PIMCO	PIMCO RAE Emerging Markets Fund Class I-2	72202L652	PEPFX				0.86000		SELL ONLY
PIMCO	PIMCO RAE Emerging Markets Fund Institutional Class	72202L645	PEIFX				0.76000		SELL ONLY
PIMCO	PIMCO RAE Fundamental Advantage PLUS Fund Class A	72201M164	PTFAX	3.75		.25	1.53000		SELL ONLY
PIMCO	PIMCO RAE Fundamental Advantage PLUS Fund Institutional Class	72201F110	PFATX				1.13000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Class A	72202L587	PZRAX	3.75		.25	1.45000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Class I-2	72202L561	PZRPX				1.20000		SELL ONLY
PIMCO	PIMCO RAE Global ex-US Fund Institutional Class	72202L553	PZRIX				1.10000		SELL ONLY
PIMCO	PIMCO RAE International Fund Class A	72202L546	PPYAX	3.75		.25	0.86000		BUY,SELL
PIMCO	PIMCO RAE International Fund Class I-2	72202L520	PPYPX				0.61000		SELL ONLY
PIMCO	PIMCO RAE International Fund Institutional Class	72202L512	PPYIX				0.51000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class A	72201U539	PEFFX	3.75		.25	1.69000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Class C	72201U521	PEFCX		1.00	1.00	2.44000		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 I-2	72201M115	PEFPX				1.39000		SELL ONLY
PIMCO	PIMCO RAE PLUS EMG Fund Institutional Class	72201M131	PEFIX				1.29000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class A	72201F888	PIXAX	3.75		.25	1.43000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class C	72201F870	PIXCX		1.00	1.00	2.18000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Class I-2	72201M768	PIXPX				1.13000		SELL ONLY
PIMCO	PIMCO RAE PLUS Fund Institutional Class	72201F854	PXTIX				1.03000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Class A	72201W139	PTSOX	3.75		.25	1.30000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Class I-2	72201U232	PTIPX				1.05000		SELL ONLY
PIMCO	PIMCO RAE PLUS International Fund Institutional Class	72201W667	PTSIX				0.95000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class A	72201U265	PCFAX	3.75		.25	1.42000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class C	72201U257	PCFEX		1.00	1.00	2.17000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Class I-2	72201U224	PCCPX				1.17000		SELL ONLY
PIMCO	PIMCO RAE PLUS Small Fund Institutional Class	72201W675	PCFIX				1.07000		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	0.90000		BUY,SELL
PIMCO	PIMCO RAE US Small Fund Class I-2	72202L439	PMJPX				0.60000		SELL ONLY
PIMCO	PIMCO RAE US Small Fund Institutional Class	72202L421	PMJIX				0.50000		SELL ONLY
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund Class A	72202G273	PWLBX	5.50		.25	1.72000		SELL ONLY
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund Class C	72202G265	PWLEX		1.00	1.00	2.47000		SELL ONLY
PIMCO	PIMCO RAE Worldwide Long/Short PLUS Fund I-2	72202G257	PWLMX				1.42000		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 Institutional Class	72202E609	PWLIX				1.32000		SELL ONLY
PIMCO	PIMCO Real Return Fund Administrative Class	693391112	PARRX			.25	0.80000		SELL ONLY
PIMCO	PIMCO Real Return Fund Class A	693391120	PRTNX	3.75		.25	0.95000		BUY,SELL
PIMCO	PIMCO Real Return Fund Class C	693391146	PRTCX		1.00	.75	1.45000		SELL ONLY
PIMCO	PIMCO Real Return Fund Class I-2	72201M636	PRLPX				0.65000		SELL ONLY
PIMCO	PIMCO Real Return Fund Class R	72200Q760	PRRRX			.50	1.20000		SELL ONLY
PIMCO	PIMCO Real Return Fund Institutional Class	693391104	PRRIX				0.55000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Class A	72200Q299	PETAX	5.50		.25	5.89000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Class C	72200Q273	PETCX		1.00	1.00	6.64000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Class I-2	72201M628	PETPX				5.59000		SELL ONLY
PIMCO	PIMCO RealEstateRealReturn Strategy Fund Institutional Class	72200Q257	PRRSX				5.49000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2030 Fund Class A	72202L876	PBPAX	5.50		.25	1.18000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2030 Fund Institutional Class	72202L850	PBPNX				0.73000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2035 Fund Class A	72202L843	PDGAX	5.50		.25	1.00000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2035 Fund Institutional Class	72202L827	PDGZX				0.55000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2040 Fund Class A	72202L819	PVPAX	5.50		.25	0.85000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2040 Fund Institutional Class	72202L785	PVPNX				0.40000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2045 Fund Class A	72202L777	PVQAX	5.50		.25	0.75000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2045 Fund Institutional Class	72202L751	PVQNX				0.30000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2050 Fund Class A	72202L744	PPQAX	5.50		.25	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
PIMCO	PIMCO RealPath Blend 2050 Fund Institutional Class	72202L728	PPQZX				0.22000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Class A	72202L710	PRQAX	5.50		.25	0.62000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2055 Fund Institutional Class	72202L686	PRQZX				0.17000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Class A	72202L348	PRBAX	5.50		.25	0.61000		SELL ONLY
PIMCO	PIMCO RealPath Blend 2060 Fund Institutional Class	72202L314	PRBMX				0.16000		SELL ONLY
PIMCO	PIMCO Realpath Blend 2070 Fund Class A	72201T326	PAJEX	5.50		.25	0.79000		SELL ONLY
PIMCO	PIMCO Realpath Blend 2070 Fund Institutional Class	72201T334	PAJDX				0.34000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Class A	72202L108	PBRAX	5.50		.25	1.28000		SELL ONLY
PIMCO	PIMCO RealPath Blend Income Fund Institutional Class	72202L306	PBRNX				0.83000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Administrative Class	72201U786	PAIQX			.25	0.64000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Class A	72201U794	PAIAX			.25	0.74000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Class I-2	72201U810	PAIPX				0.49000		SELL ONLY
PIMCO	PIMCO Short Asset Investment Fund Institutional Class	72201U828	PAIDX				0.39000		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
PIMCO	PIMCO Short-Term Fund Administrative Class	693390734	PSFAX			.25	0.74000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class A	693391211	PSHAX	2.25		.25	0.74000		BUY,SELL
PIMCO	PIMCO Short-Term Fund Class C	693391237	PFTCX		1.00	.55	1.04000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Class I-2	72201M594	PTSPX				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
PIMCO	PIMCO Short-Term Fund Class R	72200Q877	PTSRX			.50	0.99000		SELL ONLY
PIMCO	PIMCO Short-Term Fund Institutional Class	693390601	PTSHX				0.49000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Class A	72200Q620	PTOAX	3.75		.25	1.38000		BUY,SELL
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Class C	72200Q596	PSOCX		1.00	1.00	2.13000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Class I-2	72201M560	PTOPX				1.08000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Absolute Return Fund Institutional Class	722005642	PSPTX				0.98000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class A	693391393	PSPAX	3.75		.25	1.19000		BUY,SELL
PIMCO	PIMCO StocksPLUS? Fund Class C	693391419	PSPCX		1.00	.75	1.69000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class I-2	72201M578	PSKPX				0.89000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Class R	72200Q729	PSPRX			.50	1.44000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Fund Institutional Class	693390403	PSTKX				0.79000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Class A	72200Q430	PIPAX	3.75		.25	1.37000		BUY,SELL
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Class C	72200Q414	PIPCX		1.00	1.00	2.12000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Class I-2	72201M370	PIUHX				1.07000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (U.S. Dollar-Hedged) Institutional Class	72200Q380	PISIX				0.97000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Class A	72201F557	PPUAX	3.75		.25	1.19000		BUY,SELL
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Class C	72201F540	PPUCX		1.00	1.00	1.94000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Class I-2	72201M693	PPLPX				0.89000		SELL ONLY
PIMCO	PIMCO StocksPLUS? International Fund (Unhedged) Institutional Class	72201F573	PSKIX				0.79000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Long Duration Fund Institutional Class	72201F433	PSLDX				3.65000		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? Short Fund Class A	72201F763	PSSAX	3.75		.25	1.13000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class C	72201F755	PSSCX		1.00	1.00	1.88000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Class I-2	72201M339	PSPLX				0.83000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Short Fund Institutional Class	693390486	PSTIX				0.73000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class A	72201F698	PCKAX	3.75		.25	1.38000		BUY,SELL
PIMCO	PIMCO StocksPLUS? Small Fund Class C	72201F680	PCKCX		1.00	1.00	2.13000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Class I-2	72201M586	PCKPX				1.08000		SELL ONLY
PIMCO	PIMCO StocksPLUS? Small Fund Institutional Class	72201F797	PSCSX				0.98000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Administrative Class	693390627	PRFAX			.25	1.70000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Class A	72202G182	PTGAX	2.25		.25	1.85000		BUY,SELL
PIMCO	PIMCO Total Return ESG Fund Class C	72202G174	PTGCX		1.00	1.00	2.60000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Class I-2	72201P597	PRAPX				1.55000		SELL ONLY
PIMCO	PIMCO Total Return ESG Fund Institutional Class	693390866	PTSAX				1.45000		SELL ONLY
PIMCO	PIMCO Total Return Fund Administrative Class	693390726	PTRAX			.25	0.78000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class A	693390445	PTTAX	3.75		.25	0.87000		BUY,SELL
PIMCO	PIMCO Total Return Fund Class C	693390429	PTTCX		1.00	1.00	1.62000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class I-2	72201M552	PTTPX				0.63000		SELL ONLY
PIMCO	PIMCO Total Return Fund Class R	72200Q851	PTRRX			.50	1.12000		SELL ONLY
PIMCO	PIMCO Total Return Fund Institutional Class	693390700	PTTRX				0.53000		SELL ONLY
PIMCO	PIMCO Total Return Fund IV Class A	72201W691	PTUZX	3.75		.25	0.92000		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 Total Return Fund IV Institutional Class	72201W717	PTUIX				0.57000		SELL ONLY
PIMCO	PIMCO Total Return Fund V Institutional Class	72203G785	PPEIX				0.54000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Class I-2	72201P258	PMPXP				1.72000		SELL ONLY
PIMCO	PIMCO Total Return II Fund Institutional Class	693390551	PMBIX				1.62000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strategy Fund Class A	72201U497	PQTAX	5.50		.25	2.16000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strategy Fund Class I-2	72201U463	PQTPX				1.86000		SELL ONLY
PIMCO	PIMCO TRENDS Managed Futures Strategy Fund Institutional Class	72201U455	PQTIX				1.76000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Genesis Balanced Portfolio Class A	74006E876	MBAPX	5.25		.25	0.91000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Genesis Conservative Portfolio Class A	74006E884	MCONX	5.25		.25	1.08000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Genesis Growth Portfolio Class A	74006E751	MGAFX	5.25		.25	0.92000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Growth Index Fund Class A	74006E843	MGNDX	5.25		.25	0.63000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Growth Index Fund Class I	74006E868	MMDEX				0.35000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Impact Bond Fund Class A	74006E504	MIIAX	3.75		.25	0.84000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Impact Bond Fund Class I	74006E769	MIIIX				0.46000		SELL ONLY
Praxis Investment Management, Inc.	Praxis International Index Fund Class A	74006E801	MPLAX	5.25		.25	1.02000		SELL ONLY
Praxis Investment Management, Inc.	Praxis International Index Fund Class I	74006E702	MPLIX				0.56000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Small Cap Index Fund Class A	74006E793	MMSCX	5.25		.25	1.03000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Small Cap Index Fund Class I	74006E827	MMSIX				0.44000		SELL ONLY
Praxis Investment Management, Inc.	Praxis Value Index Fund Class A	74006E603	MVIAX	5.25		.25	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
Praxis Investment Management, Inc.	Praxis Value Index Fund Class I	74006E785	MVIIX				0.38000		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	0.96000		BUY,SELL
Principal Funds	Principal Blue Chip Fund Class C	74255L464	PBLCX		1.00	1.00	1.69000		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				0.70000		SELL ONLY
Principal Funds	Principal Bond Market Index Institutional Class	742553316	PNIIX				0.13000		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	PCMFX				0.65000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Class A	74254V349	CMNW X	5.50		.25	0.74000		SELL ONLY
Principal Funds	Principal Capital Appreciation Fund Institutional Class	74254U432	PWCIX				0.45000		SELL ONLY
Principal Funds	Principal Core Fixed Income Fund Class A	74254V638	CMPIX	2.25		.25	0.71000		BUY,SELL
Principal Funds	Principal Core Fixed Income Fund Class R-6	742537616	PICNX				0.33000		SELL ONLY
Principal Funds	Principal Core Fixed Income Fund Institutional Class	74254U473	PIOIX				0.46000		SELL ONLY
Principal Funds	Principal Core Plus Bond Fund Class A	74254T245	PRBDX	3.75		.25	0.91000		BUY,SELL
Principal Funds	Principal Core Plus Bond Fund Institutional Class	74253M159	PMSIX				0.58000		SELL ONLY
Principal Funds	Principal Diversified Income Fund Class A	74254V224	PGBAX	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
Principal Funds	Principal Diversified Income Fund Class C	74254V216	PGDCX		1.00	1.00	1.82000		SELL ONLY
Principal Funds	Principal Diversified Income Fund Class R6	742537244	PGBLX				0.74000		SELL ONLY
Principal Funds	Principal Diversified Income Fund Institutional Class	74254V232	PGDIX				0.81000		SELL ONLY
Principal Funds	Principal Diversified International Fund Class A	74254T328	PRWLX	5.50		.25	1.19000		SELL ONLY
Principal Funds	Principal Diversified International Fund Class R6	74257B811	PDIFX				0.76000		SELL ONLY
Principal Funds	Principal Diversified International Fund Institutional Class	74253Q879	PIIX				0.88000		SELL ONLY
Principal Funds	Principal Diversified Real Asset Fund Class A	74254V182	PRDAX	3.75		.25	1.22000		SELL ONLY
Principal Funds	Principal Diversified Real Asset Fund Class R-6	742537467	PDARX				0.80000		SELL ONLY
Principal Funds	Principal Diversified Real Asset Fund Institutional Class	74254V166	PDRDX				0.90000		SELL ONLY
Principal Funds	Principal Equity Income Fund Class A	74254V869	PQIAX	5.50		.25	0.85000		SELL ONLY
Principal Funds	Principal Equity Income Fund Class C	74254V844	PEUCX		1.00	1.00	1.62000		SELL ONLY
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				0.87000		SELL ONLY
Principal Funds	Principal Global Emerging Markets Fund Class A	74254T294	PRIAX	5.50		.25	1.56000		SELL ONLY
Principal Funds	Principal Global Emerging Markets Fund Class R6	74256W618	PIIMX				1.08000		SELL ONLY
Principal Funds	Principal Global Emerging Markets Fund Institutional Class	74253Q804	PIEIX				1.26000		SELL ONLY
Principal Funds	Principal Global Listed Infrastructure Fund Institutional Class	74256W121	PGSLX				1.26000		SELL ONLY
Principal Funds	Principal Global Multi-Strategy Fund Class A Shares	74255L720	PMSAX	3.75		.25	1.81000		SELL ONLY
Principal Funds	Principal Global Multi-Strategy Fund Institutional Class Shares	74255L696	PSMIX				1.49000		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 Global Multi-Strategy Fund R-6	742537236	PGLSX				1.51000		SELL ONLY
Principal Funds	Principal Global Real Estate Securities Fund Class A	74254V299	POSAX	5.50		.25	1.35000		SELL ONLY
Principal Funds	Principal Global Real Estate Securities Fund Class R-6	742537624	PGRSX				0.90000		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	0.82000		BUY,SELL
Principal Funds	Principal Government & High Quality Bond Fund Institutional Class	74254U457	PMRIX				0.58000		SELL ONLY
Principal Funds	Principal High Yield Fund Class A	74254V661	CPHYX	3.75		.25	0.90000		BUY,SELL
Principal Funds	Principal High Yield Fund Class C	74254V646	CCHIX		1.00	1.00	1.70000		SELL ONLY
Principal Funds	Principal High Yield Fund Class R-6	74256W626	PHYFX				0.51000		SELL ONLY
Principal Funds	Principal High Yield Fund Institutional Class	74254U481	PHYTX				0.60000		SELL ONLY
Principal Funds	Principal Inflation Protection Fund Institutional Class	74254T815	PIPIX				0.39000		SELL ONLY
Principal Funds	Principal International Equity Fund Institutional Class	74253Q226	PINIX				0.86000		SELL ONLY
Principal Funds	Principal International Equity Fund R-6 Class	74256W592	PIIDX				0.76000		SELL ONLY
Principal Funds	Principal International Equity Index Fund Institutional Class	742553324	PIDIX				0.46000		SELL ONLY
Principal Funds	Principal International Equity Index Fund R6	74256W519	PFIEX				0.31000		SELL ONLY
Principal Funds	Principal International Small Company Fund Institutional Class	742537475	PISMX				1.15000		SELL ONLY
Principal Funds	Principal International Small Company Fund R6	74256W493	PFISX				1.03000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Class A	74255L480	PLGAX	5.50		.25	0.96000		SELL ONLY
Principal Funds	Principal LargeCap Growth Fund I Class R-6	742537590	PLCGX				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
Principal Funds	Principal LargeCap Growth Fund I Institutional Class	74253J784	PLGIX				0.69000		SELL ONLY
Principal Funds	Principal LargeCap S&P 500 Index Fund Class A	74254T476	PLSAX	1.50		.15	0.33000		BUY,SELL
Principal Funds	Principal LargeCap S&P 500 Index Fund Institutional Class	74253Q788	PLFIX				0.11000		SELL ONLY
Principal Funds	Principal LargeCap Value Fund III Institutional Class	74253J677	PLVIX				0.71000		SELL ONLY
Principal Funds	Principal LifeTime 2015 Fund Institutional Class	742553605	LTINX				0.50000		SELL ONLY
Principal Funds	Principal LifeTime 2020 Fund Class A	74254U101	PTBAX	3.75		.25	0.84000		BUY,SELL
Principal Funds	Principal LifeTime 2020 Fund Institutional Class	74253M464	PLWIX				0.51000		SELL ONLY
Principal Funds	Principal LifeTime 2025 Fund Institutional Class	742553738	LTSTX				0.52000		SELL ONLY
Principal Funds	Principal LifeTime 2030 Fund Class A	74254U309	PTCAX	5.50		.25	0.87000		SELL ONLY
Principal Funds	Principal LifeTime 2030 Fund Institutional Class	74253M399	PMTIX				0.54000		SELL ONLY
Principal Funds	Principal LifeTime 2035 Fund Institutional Class	742553720	LTIUX				0.56000		SELL ONLY
Principal Funds	Principal LifeTime 2040 Fund Class A	74254U507	PTDAX	5.50		.25	0.93000		BUY,SELL
Principal Funds	Principal LifeTime 2040 Fund Institutional Class	74253M332	PTDIX				0.59000		SELL ONLY
Principal Funds	Principal LifeTime 2045 Fund Institutional Class	742553746	LTRIX				0.61000		SELL ONLY
Principal Funds	Principal LifeTime 2050 Fund Class A	74254U705	PPEAX	5.50		.25	1.01000		BUY,SELL
Principal Funds	Principal LifeTime 2050 Fund Institutional Class	74253M266	PPLIX				0.63000		SELL ONLY
Principal Funds	Principal LifeTime 2055 Fund Institutional Class	742553712	LTFIX				0.63000		SELL ONLY
Principal Funds	Principal LifeTime 2060 Fund Institutional Class	74255L563	PLTZX				0.63000		SELL ONLY
Principal Funds	Principal LifeTime 2065 Institutional Class Shares	74256W238	PLJIX				0.65000		SELL ONLY
Principal Funds	Principal Lifetime 2070 Fund Institutional Class	74257B621	PLTGX				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
Principal Funds	Principal LifeTime Hybrid 2015 Fund Institutional Class	74255L365	PHTMX				0.47000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2015 Fund R-6	74256W105	PLRRX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2020 Fund Institutional Class	74255L332	PHTTX				0.41000		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				0.38000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2025 Fund R-6	74256W303	PLFTX				0.32000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2030 Fund Institutional Class	74255L266	PHTNX				0.36000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2030 Fund R-6	74256W402	PLZTX				0.31000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2035 Fund Institutional Class	74255L233	PHTJX				0.36000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2035 Fund R-6	74256W501	PLRTX				0.31000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2040 Fund Institutional Class	742537780	PLTQX				0.38000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2040 Fund R-6	74256W600	PLMTX				0.33000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2045 Fund Institutional Class	742537756	PHTYX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2045 Fund R-6	74256W709	PLNTX				0.34000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2050 Fund Institutional Class	742537723	PHTUX				0.42000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2050 Fund R-6	74256W808	PLJTX				0.36000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2055 Fund Institutional Class	742537681	PLTNX				0.44000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2055 Fund R-6	74256W881	PLHTX				0.37000		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 2060 Fund Institutional Class	742537657	PLTHX				0.52000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2060 Fund R-6	74256W873	PLKTX				0.39000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2065 Class R-6 Shares	74256W154	PLHRX				0.51000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid 2065 Institutional Class Shares	74256W162	PLHHX				1.15000		SELL ONLY
Principal Funds	Principal Lifetime Hybrid 2070 Fund Institutional Class	74257B555	PLKSX				14.60000		SELL ONLY
Principal Funds	Principal Lifetime Hybrid 2070 Fund R6	74257B530	PLKRX				2.25000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid Income Fund Institutional Class	74255L399	PHTFX				0.57000		SELL ONLY
Principal Funds	Principal LifeTime Hybrid Income Fund R-6	74256W865	PLTYX				0.40000		SELL ONLY
Principal Funds	Principal LifeTime Strategic Income Fund Class A	74254T138	PALTX	3.75		.25	0.85000		SELL ONLY
Principal Funds	Principal LifeTime Strategic Income Fund Institutional Class	74253M191	PLSIX				0.49000		SELL ONLY
Principal Funds	Principal MidCap Fund Class A	74254T443	PEMGX	5.50		.25	0.91000		BUY,SELL
Principal Funds	Principal MidCap Fund Class C	74254U721	PMBCX		1.00	1.00	1.75000		SELL ONLY
Principal Funds	Principal MidCap Fund Class R6	74256W584	PMAQX				0.59000		SELL ONLY
Principal Funds	Principal MidCap Fund Institutional Class	74253Q747	PCBIX				0.67000		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	1.09000		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				0.65000		SELL ONLY
Principal Funds	Principal Opportunistic Municipal Fund Class A	74255L639	PMOAX	3.75		.25	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
Principal Funds	Principal Opportunistic Municipal Fund Institutional Class	742537442	POMFX				0.85000		SELL ONLY
Principal Funds	Principal Overseas Fund Institutional Class	742553571	PINZX				0.91000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Class A	74254T278	PRRAX	5.50		.25	1.19000		SELL ONLY
Principal Funds	Principal Real Estate Securities Fund Class C	74254V786	PRCEX		1.00	1.00	2.08000		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				0.90000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Class A	74254V562	SRHQX	2.25		.15	0.61000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Class C	74254V554	STCCX		1.00	1.00	1.59000		SELL ONLY
Principal Funds	Principal Short-Term Income Fund Institutional Class	74254U440	PSHIX				0.40000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class A	74254T369	PLLAX	5.50		.25	1.12000		SELL ONLY
Principal Funds	Principal SmallCap Fund Class R6	74256W550	PSMLX				0.74000		SELL ONLY
Principal Funds	Principal SmallCap Fund Institutional Class	74253Q564	PSLIX				0.91000		SELL ONLY
Principal Funds	Principal SmallCap Growth Fund I Class R-6	742537574	PCSMX				0.90000		SELL ONLY
Principal Funds	Principal SmallCap Growth Fund I Institutional Class	74253J461	PGRTX				1.01000		SELL ONLY
Principal Funds	Principal SmallCap S&P 600 Index Fund Class R6	74256W543	PSPIX				0.16000		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				0.91000		SELL ONLY
Principal Funds	Principal SmallCap Value Fund II Institutional Class	74254R694	PPVIX				1.02000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income Fund Class A	74255L753	PMDAX	5.50		.25	1.16000		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 Small-MidCap Dividend Income Fund Class C	74255L613	PMDDX		1.00	1.00	2.00000		SELL ONLY
Principal Funds	Principal Small-MidCap Dividend Income Fund Institutional Class	74255L738	PMDIX				0.87000		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	1.04000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class C	74254U614	PRFCX		1.00	1.00	1.80000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class Institutional	74253Q416	PPSIX				0.80000		SELL ONLY
Principal Funds	Principal Spectrum Preferred and Capital Securities Income Fund Class R-6	74256W485	PPREX				0.71000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Balanced Portfolio Class A	74254V547	SABPX	5.50		.25	1.07000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Balanced Portfolio Class C	74254V521	SCBPX		1.00	1.00	1.86000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Balanced Portfolio Institutional Class	74254U424	PSBIX				0.77000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Balanced Fund Class A	74254V513	SAIPX	5.50		.25	1.03000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Balanced Fund Class C	74254V489	SCIPX		1.00	1.00	1.83000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Balanced Fund Institutional Class	74254U341	PCCIX				0.73000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Conservative Growth Fund Class A	74254V471	SAGPX	5.50		.25	1.09000		BUY,SELL
Principal Funds	Principal Strategic Asset Management Conservative Growth Fund Class C	74254V455	SCGPX		1.00	1.00	1.88000		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 Conservative Growth Fund Institutional Class	74254V315	PCWIX				0.80000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Flexible Income Fund Class A	74254V448	SAUPX	3.75		.25	1.00000		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				0.73000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Strategic Growth Fund Class A	74254V414	SACAX	5.50		.25	1.13000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Strategic Growth Fund Class C	74254V380	SWHCX		1.00	1.00	1.93000		SELL ONLY
Principal Funds	Principal Strategic Asset Management Strategic Growth Fund Institutional Class	74254V109	PSWIX				0.83000		SELL ONLY
Principal Funds	Principal Tax-Exempt Bond Fund Class C	74254V877	PTBCX		1.00	1.00	1.79000		SELL ONLY
Principal Funds	Principal Tax-Exempt Bond Fund Institutional Class	742537434	PITEX				0.67000		SELL ONLY