

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Calamos	Calamos Convertible Fund Class A	128119401	CCVIX	2.25		.25	1.13000		SELL ONLY
Calamos	Calamos Convertible Fund Class C	128119823	CCVCX		1.00	1.00	1.88000		SELL ONLY
Calamos	Calamos Convertible Fund Institutional Class	128119864	CICVX				0.88000		SELL ONLY
Calamos	Calamos Evolving World Growth Fund Class A	128119161	CNWX	4.75		.25	1.65000		SELL ONLY
Calamos	Calamos Evolving World Growth Fund Class C	128119146	CNWD X		1.00	1.00	2.40000		SELL ONLY
Calamos	Calamos Evolving World Growth Fund Class I	128119138	CNWIX				1.40000		SELL ONLY
Calamos	Calamos Global Convertible Fund Class A	128120748	CAGCX	2.25		.25	1.35000		SELL ONLY
Calamos	Calamos Global Convertible Fund Class C	128120730	CCGCX		1.00	1.00	2.10000		SELL ONLY
Calamos	Calamos Global Convertible Fund Class I	128120722	CXGCX				1.10000		SELL ONLY
Calamos	Calamos Global Equity Fund Class A	128119484	CAGEX	4.75		.25	1.42000		SELL ONLY
Calamos	Calamos Global Equity Fund Class C	128119468	CCGEX		1.00	1.00	2.17000		SELL ONLY
Calamos	Calamos Global Equity Fund Institutional Class	128119450	CIGEX				1.17000		SELL ONLY
Calamos	Calamos Global Funds PLC - Calamos Short-Term Bond Fund Class A	128120441	CSTBX	2.25		.25	0.63000		SELL ONLY
Calamos	Calamos Global Funds PLC - Calamos Short-Term Bond Fund Class I	128120433	CSTIX				0.38000		SELL ONLY
Calamos	Calamos Global Opportunities Fund Class A	128119500	CVLOX	4.75		.25	1.45000		SELL ONLY
Calamos	Calamos Global Opportunities Fund Class C	128119708	CVLCX		1.00	1.00	2.20000		SELL ONLY
Calamos	Calamos Global Opportunities Fund Class I	128119609	CGCIX				1.20000		SELL ONLY
Calamos	Calamos Growth & Income Fund Class A	128119104	CVTRX	4.75		.25	1.05000		BUY,SELL
Calamos	Calamos Growth & Income Fund Class C	128119831	CVTCX		1.00	1.00	1.80000		SELL ONLY
Calamos	Calamos Growth & Income Fund Institutional Class	128119872	CGIIX				0.80000		SELL ONLY
Calamos	Calamos Growth Fund Class A	128119302	CVGRX	4.75		.25	1.29000		SELL ONLY

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Calamos	Calamos Growth Fund Class C	128119856	CVGCX		1.00	1.00	2.04000		SELL ONLY
Calamos	Calamos Growth Fund Institutional Class	128119807	CGRIX				1.04000		SELL ONLY
Calamos	Calamos Hedged Equity Fund Class A	128120698	CAHEX	4.75		.25	1.15000		SELL ONLY
Calamos	Calamos Hedged Equity Fund Class C	128120680	CCHEX		1.00	1.00	1.90000		SELL ONLY
Calamos	Calamos Hedged Equity Fund Class I	128120672	CIHEX				0.90000		SELL ONLY
Calamos	Calamos High Income Opportunities Fund Class A	128119815	CHYDX	2.25		.25	1.37000	1.00	SELL ONLY
Calamos	Calamos High Income Opportunities Fund Class C	128119799	CCHYX		1.00	1.00	2.12000	1.00	SELL ONLY
Calamos	Calamos High Income Opportunities Fund Class I	128119781	CIHYX				1.12000	1.00	SELL ONLY
Calamos	Calamos International Growth Fund Class A	128119575	CIGRX	4.75		.25	1.40000		SELL ONLY
Calamos	Calamos International Growth Fund Class C	128119559	CIGCX		1.00	1.00	2.15000		SELL ONLY
Calamos	Calamos International Growth Fund Institutional Class	128119542	CIGIX				1.15000		SELL ONLY
Calamos	Calamos Market Neutral Income Fund Class A	128119203	CVSIX	2.75		.25	1.22000		SELL ONLY
Calamos	Calamos Market Neutral Income Fund Class C	128119849	CVSCX		1.00	1.00	1.97000		SELL ONLY
Calamos	Calamos Market Neutral Income Fund Institutional Class	128119880	CMNIX				0.97000		SELL ONLY
Calamos	Calamos Phineus Long/Short Fund Class A	128120656	CPLSX	4.75		.25	2.44000		SELL ONLY
Calamos	Calamos Phineus Long/Short Fund Class C	128120649	CPCLX		1.00		3.19000		SELL ONLY
Calamos	Calamos Phineus Long/Short Fund Class I	128120631	CPLIX				2.19000		SELL ONLY
Calamos	Calamos Select Fund Class A	128119666	CVAAX	4.75		.25	1.54000		SELL ONLY
Calamos	Calamos Select Fund Class C	128119641	CVACX		1.00	1.00	2.29000		SELL ONLY
Calamos	Calamos Select Fund Institutional Class	128119633	CVAIX				1.29000		SELL ONLY
Calamos	Calamos Timpani Small Cap Growth Fund Class A	128120417	CTASX	4.75		.25	1.35000		SELL ONLY

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Calamos	Calamos Timpani Small Cap Growth Fund Class C	128120318	CTCSX			1.00	2.10000		SELL ONLY
Calamos	Calamos Timpani Small Cap Growth Fund Class I	128120391	CTSIX				1.10000		SELL ONLY
Calamos	Calamos Timpani SMID Growth Fund Class A	128120375	CTAGX	4.75		.25	1.81000		SELL ONLY
Calamos	Calamos Timpani SMID Growth Fund Class I	128120367	CTIGX				1.56000		SELL ONLY
Calamos	Calamos Total Return Bond Fund Class A	128119310	CTRAX	2.25		.25	1.19000		SELL ONLY
Calamos	Calamos Total Return Bond Fund Class C	128119286	CTRCX		1.00	1.00	1.94000		SELL ONLY
Calamos	Calamos Total Return Bond Fund Class I	128119278	CTRIX				0.94000		SELL ONLY
Calvert Research and Management	Calvert Balanced Fund Class A	131618100	CSIFX	5.25		.24	0.90000		BUY,SELL
Calvert Research and Management	Calvert Balanced Fund Class C	131618506	CSGCX		1.00	1.00	1.66000		SELL ONLY
Calvert Research and Management	Calvert Balanced Fund Class I	131618829	CBAIX				0.66000		SELL ONLY
Calvert Research and Management	Calvert Balanced Fund Class R6	131618522	CBARX				0.61000		SELL ONLY
Calvert Research and Management	Calvert Bond Fund Class A	131618407	CSIBX	3.25		.20	0.75000		BUY,SELL
Calvert Research and Management	Calvert Bond Fund Class C	131618605	CSBCX		1.00	1.00	1.55000		SELL ONLY
Calvert Research and Management	Calvert Bond Fund Class I	131618787	CBDIX				0.55000		SELL ONLY
Calvert Research and Management	Calvert Bond Fund Class R6	131582322	CBORX				0.48000		SELL ONLY
Calvert Research and Management	Calvert Conservative Allocation Fund Class A	131618696	CCLAX	5.25		.25	0.99000		BUY,SELL
Calvert Research and Management	Calvert Conservative Allocation Fund Class C	131618670	CALCX		1.00	1.00	1.74000		SELL ONLY
Calvert Research and Management	Calvert Conservative Allocation Fund Class I	131618662	CFAIX				0.74000		SELL ONLY

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Calvert Research and Management	Calvert Conservative Allocation Fund Class R6	131618514	CAARX				0.67000		SELL ONLY
Calvert Research and Management	Calvert Core Bond Fund Class A	131582710	CLDAX	3.25		.25	0.83000		BUY,SELL
Calvert Research and Management	Calvert Core Bond Fund Class I	131582330	CLDIX				0.58000		SELL ONLY
Calvert Research and Management	Calvert Core Bond Fund Class R6	131582116	CLDRX				0.55000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Advancement Fund Class A	131649733	CEFAX	5.25		.25	1.42000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Advancement Fund Class I	131649717	CEFIX				1.17000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Equity Fund Class A	131649816	CVMAX	5.25		.25	1.34000		BUY,SELL
Calvert Research and Management	Calvert Emerging Markets Equity Fund Class C	131649790	CVMCX		1.00	1.00	2.09000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Equity Fund Class I	131649774	CVMIX				1.09000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Equity Fund Class R6	131649766	CVMRX				1.02000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Focused Growth Fund Class A	13161X832	CEMAX	5.25	1.00	.25	4.98000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Focused Growth Fund Class C	13161X824	CEMCX		1.00	1.00	5.73000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Focused Growth Fund Class I	13161X816	CMEIX				4.73000		SELL ONLY
Calvert Research and Management	Calvert Emerging Markets Focused Growth Fund Class R6	13161X790	CMERX				4.73000		SELL ONLY
Calvert Research and Management	Calvert Equity Fund Class A	131618308	CSIEX	5.25		.25	0.90000		BUY,SELL
Calvert Research and Management	Calvert Equity Fund Class C	131618704	CSECX		1.00	1.00	1.65000		SELL ONLY
Calvert Research and Management	Calvert Equity Fund Class I	131618795	CEYIX				0.65000		SELL ONLY
Calvert Research and Management	Calvert Equity Fund Class R6	131582280	CEYRX				0.58000		SELL ONLY

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Calvert Research and Management	Calvert Flexible Bond Fund Class A	13161X105	CUBAX	3.25		.25	0.94000		SELL ONLY
Calvert Research and Management	Calvert Flexible Bond Fund Class C	13161X204	CUBCX		1.00	1.00	1.69000		SELL ONLY
Calvert Research and Management	Calvert Flexible Bond Fund Class I	13161X303	CUBIX				0.69000		SELL ONLY
Calvert Research and Management	Calvert Flexible Bond Fund Class R6	13161X840	CUBRX				0.61000		SELL ONLY
Calvert Research and Management	Calvert Floating-Rate Advantage Fund Class A	13161X808	CFOAX	3.25		.25	2.83000		SELL ONLY
Calvert Research and Management	Calvert Floating-Rate Advantage Fund Class I	13161X873	CFOIX				2.58000		SELL ONLY
Calvert Research and Management	Calvert Floating-Rate Advantage Fund Class R6	13161X865	CFORX				2.48000		SELL ONLY
Calvert Research and Management	Calvert Focused Value Fund Class A	131582165	CRFAX	5.25		.25	1.13000		SELL ONLY
Calvert Research and Management	Calvert Focused Value Fund Class C	131582157	CRFCX		1.00	1.00	1.88000		SELL ONLY
Calvert Research and Management	Calvert Focused Value Fund Class I	131582140	CRFIX				0.88000		SELL ONLY
Calvert Research and Management	Calvert Focused Value Fund Class R6	131582132	CRFRX				0.88000		SELL ONLY
Calvert Research and Management	Calvert Global Energy Solutions Fund Class A	13161P847	CGAEX	5.25		.25	1.49000		BUY,SELL
Calvert Research and Management	Calvert Global Energy Solutions Fund Class C	13161P821	CGACX		1.00	1.00	2.24000		SELL ONLY
Calvert Research and Management	Calvert Global Energy Solutions Fund Class I	13161P813	CAEIX				1.24000		SELL ONLY
Calvert Research and Management	Calvert Global Equity Fund Class A	13161X782	CGLAX	5.25		.25	2.51000		SELL ONLY
Calvert Research and Management	Calvert Global Equity Fund Class I	13161X774	CGLIX				2.26000		SELL ONLY
Calvert Research and Management	Calvert Global Small-Cap Equity A	13161X766	CSMAX	5.25		.25	2.07000		SELL ONLY
Calvert Research and Management	Calvert Global Small-Cap Equity C	13161X758	CSQCX		1.00	1.00	2.82000		SELL ONLY

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Calvert Research and Management	Calvert Global Small-Cap Equity I	13161X741	CSPIX				1.82000		SELL ONLY
Calvert Research and Management	Calvert Global Water Fund Class A	13161P797	CFWAX	5.25		.25	1.29000		BUY,SELL
Calvert Research and Management	Calvert Global Water Fund Class C	13161P789	CFWCX		1.00	1.00	2.04000		SELL ONLY
Calvert Research and Management	Calvert Global Water Fund Class I	13161P698	CFWIX				1.04000		SELL ONLY
Calvert Research and Management	Calvert Green Bond Fund Class A	13161P730	CGAFX	3.25		.25	0.78000		BUY,SELL
Calvert Research and Management	Calvert Green Bond Fund Class I	13161P714	CGBIX				0.53000		SELL ONLY
Calvert Research and Management	Calvert Green Bond Fund Class R6	13161P680	CBGRX				0.48000		SELL ONLY
Calvert Research and Management	Calvert Growth Allocation Fund Class A	131618647	CAAAX	5.25		.25	0.96000		BUY,SELL
Calvert Research and Management	Calvert Growth Allocation Fund Class C	131618621	CAACX		1.00	1.00	1.71000		SELL ONLY
Calvert Research and Management	Calvert Growth Allocation Fund Class I	131618613	CAGIX				0.71000		SELL ONLY
Calvert Research and Management	Calvert Growth Allocation Fund Class R6	131618498	CGARX				0.64000		SELL ONLY
Calvert Research and Management	Calvert High Yield Bond Fund Class A	131582454	CYBAX	3.25		.25	1.03000		BUY,SELL
Calvert Research and Management	Calvert High Yield Bond Fund Class C	131582447	CHBCX		1.00	1.00	1.78000		SELL ONLY
Calvert Research and Management	Calvert High Yield Bond Fund Class I	131582439	CYBIX				0.78000		SELL ONLY
Calvert Research and Management	Calvert High Yield Bond Fund Class R6	131582272	CYBRX				0.69000		SELL ONLY
Calvert Research and Management	Calvert Income Fund Class A	131582207	CFICX	3.25		.25	0.95000		BUY,SELL
Calvert Research and Management	Calvert Income Fund Class C	131582744	CIFCX		1.00	1.00	1.70000		SELL ONLY
Calvert Research and Management	Calvert Income Fund Class I	131582793	CINCX				0.70000		SELL ONLY

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Calvert Research and Management	Calvert Income Fund Class R6	131582124	CINRX				0.64000		SELL ONLY
Calvert Research and Management	Calvert International Equity Fund Class A	131649105	CWVG X	5.25		.25	1.20000		BUY,SELL
Calvert Research and Management	Calvert International Equity Fund Class C	131649204	CWVC X		1.00	1.00	1.95000		SELL ONLY
Calvert Research and Management	Calvert International Equity Fund Class I	131649808	CWVIX				0.95000		SELL ONLY
Calvert Research and Management	Calvert International Equity Fund Class R6	131649741	CIESX				0.91000		SELL ONLY
Calvert Research and Management	Calvert International Opportunities Fund Class A	131649881	CIOAX	5.25		.25	1.34000		BUY,SELL
Calvert Research and Management	Calvert International Opportunities Fund Class C	131649865	COICX		1.00	1.00	2.09000		SELL ONLY
Calvert Research and Management	Calvert International Opportunities Fund Class I	131649857	COIIX				1.09000		SELL ONLY
Calvert Research and Management	Calvert International Opportunities Fund Class R6	131649758	COIRX				1.01000		SELL ONLY
Calvert Research and Management	Calvert International Responsible Index Fund Class A	13161Y509	CDHAX	4.75		.25	0.65000		BUY,SELL
Calvert Research and Management	Calvert International Responsible Index Fund Class I	13161Y707	CDHIX				0.40000		SELL ONLY
Calvert Research and Management	Calvert International Responsible Index Fund Class R6	13161Y848	CDHRX				0.37000		SELL ONLY
Calvert Research and Management	Calvert Moderate Allocation Fund Class A	131618738	CMAAX	5.25		.25	0.97000		BUY,SELL
Calvert Research and Management	Calvert Moderate Allocation Fund Class C	131618712	CMACX		1.00	1.00	1.72000		SELL ONLY
Calvert Research and Management	Calvert Moderate Allocation Fund Class I	131618654	CLAIX				0.72000		SELL ONLY
Calvert Research and Management	Calvert Moderate Allocation Fund Class R6	131618480	CAMRX				0.67000		SELL ONLY
Calvert Research and Management	Calvert Mortgage Access Fund Class A	131582256	CMMAX	3.25		.25	1.74000		SELL ONLY
Calvert Research and Management	Calvert Mortgage Access Fund Class C	131582249	CMMC X		1.00	1.00	2.49000		SELL ONLY

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Calvert Research and Management	Calvert Mortgage Access Fund Class I	131582231	CMMIX				1.49000		SELL ONLY
Calvert Research and Management	Calvert Mortgage Access Fund Class R6	131582223	CMMRX				1.49000		SELL ONLY
Calvert Research and Management	Calvert Responsible Municipal Income Fund Class C	13161X501	CTTCX		1.00	1.00	1.63000		SELL ONLY
Calvert Research and Management	Calvert Responsible Municipal Income Fund Class I	13161X600	CTTIX				0.63000		SELL ONLY
Calvert Research and Management	Calvert Short Duration Income Fund Class A	13161T104	CSDAX	2.25		.25	0.77000		BUY,SELL
Calvert Research and Management	Calvert Short Duration Income Fund Class C	13161T302	CDICX		1.00	1.00	1.52000		SELL ONLY
Calvert Research and Management	Calvert Short Duration Income Fund Class I	13161T401	CDSIX				0.52000		SELL ONLY
Calvert Research and Management	Calvert Short Duration Income Fund Class R6	131582264	CDSRX				0.45000		SELL ONLY
Calvert Research and Management	Calvert Small/Mid-Cap A	13161X733	CMPAX	5.25		.25	1.51000		BUY,SELL
Calvert Research and Management	Calvert Small/Mid-Cap C	13161X725	CMPCX		1.00	1.00	2.26000		SELL ONLY
Calvert Research and Management	Calvert Small/Mid-Cap I	13161X717	CMCIX				1.26000		SELL ONLY
Calvert Research and Management	Calvert Small-Cap Fund Class A	13161P508	CCVAX	5.25		.25	1.19000		BUY,SELL
Calvert Research and Management	Calvert Small-Cap Fund Class C	13161P805	CSCCX		1.00	1.00	1.94000		SELL ONLY
Calvert Research and Management	Calvert Small-Cap Fund Class I	13161P862	CSVIX				0.94000		SELL ONLY
Calvert Research and Management	Calvert Small-Cap Fund Class R6	13161P672	CALRX				0.86000		SELL ONLY
Calvert Research and Management	Calvert Ultra-Short Duration Income Fund Class A	131582611	CULAX			.25	0.76000		SELL ONLY
Calvert Research and Management	Calvert Ultra-Short Duration Income Fund Class I	131582348	CULIX				0.51000		SELL ONLY
Calvert Research and Management	Calvert Ultra-Short Duration Income Fund Class R6	131582314	CULRX				0.47000		SELL ONLY

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Calvert Research and Management	Calvert US Large Cap Core Responsible Index Fund Class A	131582785	CSXAX	4.75		.25	0.59000		BUY,SELL
Calvert Research and Management	Calvert US Large Cap Core Responsible Index Fund Class C	131582769	CSXCX		1.00	1.00	1.34000		SELL ONLY
Calvert Research and Management	Calvert US Large Cap Core Responsible Index Fund Class I	131582751	CISIX				0.34000		SELL ONLY
Calvert Research and Management	Calvert US Large Cap Core Responsible Index Fund Class R6	131582298	CSXRX				0.29000		SELL ONLY
Calvert Research and Management	Calvert US Large Cap Growth Responsible Index Fund Class A	13162A104	CGJAX	4.75		.25	0.64000		BUY,SELL
Calvert Research and Management	Calvert US Large Cap Growth Responsible Index Fund Class I	13162A807	CGJIX				0.39000		SELL ONLY
Calvert Research and Management	Calvert US Large Cap Growth Responsible Index Fund Class R6	131618472	CLGRX				0.36000		SELL ONLY
Calvert Research and Management	Calvert US Large Cap Value Responsible Index Fund Class A	13162A401	CFJAX	4.75		.25	0.62000		BUY,SELL
Calvert Research and Management	Calvert US Large Cap Value Responsible Index Fund Class I	13162A708	CFJIX				0.37000		SELL ONLY
Calvert Research and Management	Calvert US Large Cap Value Responsible Index Fund Class R6	131618464	CLVRX				0.32000		SELL ONLY
Calvert Research and Management	Calvert US Mid Cap Core Responsible Index Fund Class A	13161Y103	CMJAX	4.75		.25	0.67000		BUY,SELL
Calvert Research and Management	Calvert US Mid Cap Core Responsible Index Fund Class I	13161Y301	CMJIX				0.42000		SELL ONLY
Calvert Research and Management	Calvert US Mid Cap Core Responsible Index Fund Class R6	131618456	CMCRX				0.38000		SELL ONLY
Cambiar Funds	Cambiar International Equity Fund Investor Class	00758M139	CAMIX				1.23000	2.00	SELL ONLY
Cambiar Funds	Cambiar International Equity Institutional	00769G543	CAMYX				1.14000	2.00	SELL ONLY
Cambiar Funds	Cambiar Opportunity Fund Class Institutional	0075W0825	CAMW X				0.77000		SELL ONLY
Cambiar Funds	Cambiar Opportunity Fund Class Investor	00758M261	CAMOX				0.98000		SELL ONLY
Cambiar Funds	Cambiar Small Cap Fund Class Investor	0075W0817	CAMSX				1.36000	2.00	SELL ONLY

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Cambiar Funds	Cambiar Small Cap Institutional Class	0075W0593	CAMZX				1.11000	2.00	SELL ONLY
Cambiar Funds	Cambiar SMID Fund Institutional Class	00769G311	CAMUX				1.02000	2.00	SELL ONLY
Cambiar Funds	Cambiar SMID Fund Investor Class Shares	00769G766	CAMMX				1.12000	2.00	SELL ONLY
Cantor	Cantor Fitzgerald Equity Dividend Plus Fund Class A	138624408	FBPGX	5.75		.25	1.44000		SELL ONLY
Cantor	Cantor Fitzgerald Equity Dividend Plus Fund Institutional Class	138624507	FBPEX				1.19000		SELL ONLY
Cantor	Cantor Fitzgerald Equity Opportunity Fund Class A	138624838	ATGAX	5.75		.25	1.51000		SELL ONLY
Cantor	Cantor Fitzgerald Equity Opportunity Fund Institutional Class	138624820	ATGYX				1.26000		SELL ONLY
Cantor	Cantor Fitzgerald High Income Fund Class A	138624861	ATPAX	4.00		.20	1.21000		BUY,SELL
Cantor	Cantor Fitzgerald High Income Fund Institutional Class	138624853	ATPYX				1.01000		SELL ONLY
Cantor	Cantor Fitzgerald International Equity Fund Class A	138624705	CFIOX	5.75		.25	4.15000		SELL ONLY
Cantor	Cantor Fitzgerald International Equity Fund Class F	138624879	CFIJX				3.70000		SELL ONLY
Cantor	Cantor Fitzgerald International Equity Fund Institutional Class	138624804	CFIKX				3.90000		SELL ONLY
Cantor	Cantor Fitzgerald Large Cap Focused Fund Class A	138624101	FICGX	5.75		.25	1.17000		SELL ONLY
Cantor	Cantor Fitzgerald Large Cap Focused Fund Class R6	138624200	FICIX				0.87000		SELL ONLY
Cantor	Cantor Fitzgerald Large Cap Focused Fund Institutional Class	138624309	FICHX				0.94000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class A	02630T100	AAATX	5.75		.24	0.61000		BUY,SELL
Capital Group	American Funds 2010 Target Date Retirement Fund? Class C	02631C205	CCATX		1.00	1.00	1.37000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class F-1	02631C304	FAATX			.25	0.65000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class F-2	02631C403	FBATX				0.38000		SELL ONLY

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Capital Group	American Funds 2010 Target Date Retirement Fund? Class F-3	02631V104	DJTFX				0.29000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class R-1	02630T209	RAATX			1.00	1.38000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class R-2	02630T308	RBATX			.75	1.38000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class R-2E	02631C536	RBEAX			.60	1.09000		SELL ONLY
Capital Group	American Funds 2010 Target Date Retirement Fund? Class R-3	02630T407	RCATX			.50	0.93000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class A	02630T704	AABTX	5.75		.25	0.63000		BUY,SELL
Capital Group	American Funds 2015 Target Date Retirement Fund? Class C	02631C601	CCBTX		1.00	.99	1.37000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class F-1	02631C700	FAKTX			.25	0.66000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class F-2	02631C809	FBBTX				0.39000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class F-3	02631V203	FDBTX				0.30000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class R-1	02630T803	RAJTX			1.00	1.39000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class R-2	02630T886	RBJTX			.75	1.39000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class R-2E	02631C528	RBEJX			.60	1.10000		SELL ONLY
Capital Group	American Funds 2015 Target Date Retirement Fund? Class R-3	02630T878	RCJTX			.50	0.94000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class A	02630T845	AACTX	5.75		.24	0.62000		BUY,SELL
Capital Group	American Funds 2020 Target Date Retirement Fund? Class C	02631C874	CCCTX		1.00	.99	1.37000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class F-1	02631C866	FAOTX			.25	0.66000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class F-2	02631C858	FBCTX				0.39000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds 2020 Target Date Retirement Fund? Class F-3	02631V302	FCCTX				0.30000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class R-1	02630T837	RACTX			1.00	1.39000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class R-2	02630T829	RBCTX			.75	1.39000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class R-2E	02631C510	RBEHX			.60	1.10000		SELL ONLY
Capital Group	American Funds 2020 Target Date Retirement Fund? Class R-3	02630T811	RCCTX			.50	0.94000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class A	02630T779	AADTX	5.75		.24	0.63000		BUY,SELL
Capital Group	American Funds 2025 Target Date Retirement Fund? Class C	02631C833	CCDTX		1.00	.98	1.37000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class F-1	02631C825	FAPTX			.25	0.67000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class F-2	02631C817	FBDTX				0.39000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class F-3	02631V401	FDDTX				0.31000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class R-1	02630T761	RADTX			1.00	1.40000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class R-2	02630T753	RBDTX			.75	1.40000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class R-2E	02631C494	RBEDX			.60	1.11000		SELL ONLY
Capital Group	American Funds 2025 Target Date Retirement Fund? Class R-3	02630T746	RCDTX			.50	0.95000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class A	02630T712	AAETX	5.75		.25	0.66000		BUY,SELL
Capital Group	American Funds 2030 Target Date Retirement Fund? Class C	02631C783	CCETX		1.00	.98	1.39000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class F-1	02631C775	FAETX			.25	0.69000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class F-2	02631C767	FBETX				0.42000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds 2030 Target Date Retirement Fund? Class F-3	02631V500	FCETX				0.33000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class R-1	02630T696	RAETX			1.00	1.42000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class R-2	02630T688	RBETX			.75	1.42000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class R-2E	02631C486	RBEEEX			.60	1.13000		SELL ONLY
Capital Group	American Funds 2030 Target Date Retirement Fund? Class R-3	02630T670	RCETX			.50	0.97000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class A	02630T647	AAFTX	5.75		.25	0.67000		BUY,SELL
Capital Group	American Funds 2035 Target Date Retirement Fund? Class C	02631C742	CCFTX		1.00	.98	1.40000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class F-1	02631C734	FAQTX			.25	0.70000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class F-2	02631C726	FBFTX				0.42000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class F-3	02631V609	FDFTX				0.34000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class R-1	02630T639	RAFTX			.99	1.42000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class R-2	02630T621	RBFTX			.75	1.43000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class R-2E	02631C478	RBEFX			.60	1.14000		SELL ONLY
Capital Group	American Funds 2035 Target Date Retirement Fund? Class R-3	02630T613	RCFTX			.50	0.98000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class A	02630T571	AAGTX	5.75		.24	0.68000		BUY,SELL
Capital Group	American Funds 2040 Target Date Retirement Fund? Class C	02631C692	CCGTX		1.00	.98	1.42000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class F-1	02631C684	FAUTX			.25	0.72000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class F-2	02631C676	FBGTX				0.44000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds 2040 Target Date Retirement Fund? Class F-3	02631V708	FCGTX				0.36000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class R-1	02630T563	RAKTX			1.00	1.45000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class R-2	02630T555	RBKTX			.75	1.45000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class R-2E	02631C460	RBEKX			.60	1.16000		SELL ONLY
Capital Group	American Funds 2040 Target Date Retirement Fund? Class R-3	02630T548	RCKTX			.50	1.00000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class A	02630T514	AAHTX	5.75		.24	0.69000		BUY,SELL
Capital Group	American Funds 2045 Target Date Retirement Fund? Class C	02631C650	CCHTX		1.00	.98	1.43000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class F-1	02631C643	FATTX			.25	0.73000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class F-2	02631C635	FBHTX				0.45000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class F-3	02631V807	FCHTX				0.37000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class R-1	02630T498	RAHTX			1.00	1.46000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class R-2	02630T480	RBHTX			.75	1.46000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class R-2E	02631C452	RBHHX			.60	1.17000		SELL ONLY
Capital Group	American Funds 2045 Target Date Retirement Fund? Class R-3	02630T472	RCHTX			.50	1.01000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class A	02630T449	AALTX	5.75		.24	0.69000		BUY,SELL
Capital Group	American Funds 2050 Target Date Retirement Fund? Class C	02631C619	CCITX		1.00	.98	1.43000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class F-1	02631C593	FAITX			.25	0.73000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class F-2	02631C585	FBITX				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
Capital Group	American Funds 2050 Target Date Retirement Fund? Class F-3	02631V880	DITFX				0.37000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class R-1	02630T431	RAITX			1.00	1.46000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class R-2	02630T423	RBITX			.75	1.46000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class R-2E	02630T191	RBHEX			.60	1.17000		SELL ONLY
Capital Group	American Funds 2050 Target Date Retirement Fund? Class R-3	02630T415	RCITX			.50	1.01000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class A	02630T274	AAMTX	5.75		.25	0.73000		BUY,SELL
Capital Group	American Funds 2055 Target Date Retirement Fund? Class C	02631C569	CCJTX		1.00	.98	1.46000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class F-1	02631C551	FAJTX			.25	0.75000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class F-2	02631C544	FBJTX				0.48000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class F-3	02631V872	FCJTX				0.39000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class R-1	02630T266	RAMTX			1.00	1.48000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class R-2	02630T258	RBMTX			.75	1.48000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class R-2E	02630T183	RBEMX			.60	1.19000		SELL ONLY
Capital Group	American Funds 2055 Target Date Retirement Fund? Class R-3	02630T241	RCMTX			.50	1.03000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class A	02631C445	AANTX	5.75		.25	0.73000		BUY,SELL
Capital Group	American Funds 2060 Target Date Retirement Fund? Class C	02631C429	CCKTX		1.00	.99	1.47000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class F-1	02631C411	FAWTX			.25	0.75000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class F-2	02631C395	FBKTX				0.48000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds 2060 Target Date Retirement Fund? Class F-3	02631V864	FCKTX				0.39000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class R-1	02631C387	RANTX			1.00	1.48000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class R-2	02631C379	RBNTX			.75	1.48000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class R-2E	02631C361	RBENX			.60	1.18000		SELL ONLY
Capital Group	American Funds 2060 Target Date Retirement Fund? Class R-3	02631C353	RCNTX			.50	1.03000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class A	02631V740	AAOTX	5.75		.26	0.74000		BUY,SELL
Capital Group	American Funds 2065 Target Date Retirement Fund? Class C	02631V732	CCLTX		1.00	1.00	1.48000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class F-1	02631V716	FAXTX			.25	0.75000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class F-2	02631V690	FBMTX				0.48000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class F-3	02631V682	FCQTX				0.39000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class R-1	02631V674	RAQTX			.99	1.48000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class R-2	02631V666	RBOTX			.75	1.48000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class R-2E	02631V658	RBEOX			.60	1.18000		SELL ONLY
Capital Group	American Funds 2065 Target Date Retirement Fund? Class R-3	02631V641	RCPTX			.50	1.03000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class A	02631V583	AAFJX	5.75		.28	0.76000		BUY,SELL
Capital Group	American Funds 2070 Target Date Retirement Fund? Class C	02631V575	CCGDX		1.00	1.00	1.48000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class F-1	02631V559	FATSX			.25	0.74000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class F-2	02631V542	FBAJX				0.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds 2070 Target Date Retirement Fund? Class F-3	02631V534	FCBEX				0.39000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class R-1	02631V526	RAADX			1.00	1.48000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class R-2	02631V518	RAABX			.75	1.46000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class R-2E	02631V492	RBAHX			.60	1.21000		SELL ONLY
Capital Group	American Funds 2070 Target Date Retirement Fund? Class R-3	02631V484	RCADX			.50	1.07000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class A	023375108	AMCPX	5.75		.24	0.64000		BUY,SELL
Capital Group	American Funds AMCAP Fund? Class C	023375306	AMPCX		1.00	.99	1.39000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class F-1	023375405	AMPFX			.25	0.70000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class F-2	023375827	AMCFX				0.43000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class F-3	023375777	FMACX				0.33000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class R-1	023375876	RAFAX			1.00	1.42000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class R-2	023375868	RAFBX			.75	1.42000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class R-2E	023375793	RAEBX			.60	1.13000		SELL ONLY
Capital Group	American Funds AMCAP Fund? Class R-3	023375850	RAFCX			.50	0.97000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class A	024071102	ABALX	5.75		.25	0.56000		BUY,SELL
Capital Group	American Funds American Balanced Fund? Class C	024071300	BALCX		1.00	1.00	1.31000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class F-1	024071409	BALFX			.25	0.61000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class F-2	024071821	AMBFX				0.35000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds American Balanced Fund? Class F-3	024071771	AFMBX				0.25000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class R-1	024071870	RLBAX			.99	1.31000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class R-2	024071862	RLBBX			.75	1.32000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class R-2E	024071797	RAMHX			.60	1.04000		SELL ONLY
Capital Group	American Funds American Balanced Fund? Class R-3	024071854	RLBCX			.50	0.89000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class A	026547109	AHITX	3.75		.26	0.74000		BUY,SELL
Capital Group	American Funds American High-Income Trust? Class C	026547307	AHTCX		1.00	1.00	1.48000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class F-1	026547406	AHTFX			.25	0.76000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class F-2	026547828	AHIFX				0.47000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class F-3	026547778	HIGFX				0.36000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class R-1	026547877	RITAX			1.00	1.45000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class R-2	026547869	RITBX			.75	1.45000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class R-2E	026547794	RTEHX			.60	1.16000		SELL ONLY
Capital Group	American Funds American High-Income Trust? Class R-3	026547851	RITCX			.50	1.01000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class A	027681105	AMRMX	5.75		.25	0.57000		BUY,SELL
Capital Group	American Funds American Mutual Fund? Class C	027681303	AMFCX		1.00	1.00	1.33000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class F-1	027681402	AMFFX			.25	0.64000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class F-2	027681824	AMRFX				0.38000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds American Mutual Fund? Class F-3	027681774	AFMFX				0.27000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class R-1	027681873	RMFAX			1.00	1.36000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class R-2	027681865	RMFBX			.75	1.35000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class R-2E	027681790	RMEBX			.60	1.07000		SELL ONLY
Capital Group	American Funds American Mutual Fund? Class R-3	027681857	RMFCX			.50	0.91000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class A	140193103	CAIBX	5.75		.25	0.59000		BUY,SELL
Capital Group	American Funds Capital Income Builder? Class C	140193301	CIBCX		1.00	.99	1.34000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class F-1	140193400	CIBFX			.25	0.66000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class F-2	140194101	CAIFX				0.38000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class F-3	140193780	CFIHX				0.27000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class R-1	140193871	RIRAX			1.00	1.36000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class R-2	140193863	RIRBX			.75	1.36000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class R-2E	140193814	RCEEX			.60	1.07000		SELL ONLY
Capital Group	American Funds Capital Income Builder? Class R-3	140193855	RIRCX			.50	0.91000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class A	140541103	CWBCX	3.75		.26	0.99000		BUY,SELL
Capital Group	American Funds Capital World Bond Fund? Class C	140541301	CWBCX		1.00	1.00	1.73000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class F-1	140541400	WBFFX			.24	1.04000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class F-2	140541822	BFWFX				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
Capital Group	American Funds Capital World Bond Fund? Class F-3	140541111	WFBFX				0.48000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class R-1	140541871	RCWA X			.99	1.57000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class R-2	140541863	RCWB X			.75	1.58000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class R-2E	140541798	RCEBX			.60	1.29000		SELL ONLY
Capital Group	American Funds Capital World Bond Fund? Class R-3	140541855	RCWC X			.50	1.13000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class A	140543109	CWGIX	5.75		.24	0.74000		BUY,SELL
Capital Group	American Funds Capital World Growth and Income Fund? Class C	140543307	CWGC X		1.00	.99	1.49000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class F-1	140543406	CWGF X			.24	0.80000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class F-2	140543828	WGIFX				0.52000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class F-3	140543117	FWGIX				0.41000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class R-1	140543877	RWIAX			1.00	1.51000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class R-2	140543869	RWIBX			.75	1.51000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class R-2E	140543794	RWBEX			.60	1.21000		SELL ONLY
Capital Group	American Funds Capital World Growth and Income Fund? Class R-3	140543851	RWICX			.50	1.06000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class A	02630Y448	INPAX	5.75		.25	0.59000		BUY,SELL
Capital Group	American Funds Conservative Growth and Income Portfolio Class C	02630Y422	INPCX		1.00	1.00	1.34000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class F-1	02630Y414	INPFX			.25	0.66000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class F-2	02630Y398	INPEX				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
Capital Group	American Funds Conservative Growth and Income Portfolio Class F-3	02630Q205	INPDX				0.30000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class R-1	02630Y331	RNCAX			1.00	1.36000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class R-2	02630Y323	RINBX			.75	1.38000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class R-2E	02630R377	RNBEX			.60	1.10000		SELL ONLY
Capital Group	American Funds Conservative Growth and Income Portfolio Class R-3	02630Y315	RNCCX			.50	0.92000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class A	02629H109	BFCAX	3.75		.27	0.71000		BUY,SELL
Capital Group	American Funds Corporate Bond Fund Class C	02629H307	BFCCX		1.00	1.00	1.44000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class F-1	02629H406	BFCFX			.25	0.70000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class F-2	02629H505	BFCGX				0.43000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class F-3	02629H778	CFBFX				0.31000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class R-1	02629H869	RCBAX			1.00	1.40000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class R-2	02629H851	RCBBX			.75	1.40000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class R-2E	02629H794	RCBGX			.60	1.11000		SELL ONLY
Capital Group	American Funds Corporate Bond Fund Class R-3	02629H844	RCBCX			.49	0.95000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class A	02630F100	DWGA X	5.75		.24	1.22000		BUY,SELL
Capital Group	American Funds Developing World Growth and Income Fund Class C	02630F308	DWGC X		1.00	1.00	1.98000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class F-1	02630F407	DWGF X			.25	1.16000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class F-2	02630F506	DWGH X				0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Developing World Growth and Income Fund Class F-3	02630F779	FDWG X				0.77000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class R-1	02630F860	RDWA X			1.00	1.88000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class R-2	02630F852	RDWB X			.75	1.85000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class R-2E	02630F795	RDEGX			.58	1.56000		SELL ONLY
Capital Group	American Funds Developing World Growth and Income Fund Class R-3	02630F845	RDWC X			.50	1.42000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class A	02631F109	EBNAX	3.75		.25	0.93000		BUY,SELL
Capital Group	American Funds Emerging Markets Bond Fund Class C	02631F307	EBNCX		1.00	1.00	1.68000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class F-1	02631F406	EBNEX			.25	0.93000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class F-2	02631F505	EBNFX				0.65000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class F-3	02631F778	EBNGX				0.54000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class R-1	02631F869	REGAX			1.00	1.63000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class R-2	02631F851	REGBX			.75	1.55000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class R-2E	02631F844	REGHX			.60	1.30000		SELL ONLY
Capital Group	American Funds Emerging Markets Bond Fund Class R-3	02631F836	REGCX			.50	1.18000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class A	298706102	AEPGX	5.75		.24	0.83000		BUY,SELL
Capital Group	American Funds EUPAC Fund Class C	298706300	AEPCX		1.00	.98	1.57000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class F-1	298706409	AEGFX			.25	0.86000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class F-2	29875E100	AEPFX				0.58000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class F-3	298706110	FEUPX				0.47000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds EUPAC Fund Class R-1	298706870	RERAX			1.00	1.57000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class R-2	298706862	RERBX			.75	1.56000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class R-2E	298706813	REEBX			.60	1.27000		SELL ONLY
Capital Group	American Funds EUPAC Fund Class R-3	298706854	RERCX			.50	1.12000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class A	360802102	ANCFX	5.75		.24	0.58000		BUY,SELL
Capital Group	American Funds Fundamental Investors? Class C	360802300	AFICX		1.00	.99	1.33000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class F-1	360802409	AFIFX			.25	0.65000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class F-2	360802821	FINFX				0.38000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class F-3	360802771	FUNFX				0.28000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class R-1	360802870	RFNAX			.99	1.36000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class R-2	360802862	RFNBX			.75	1.36000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class R-2E	360802797	RFEBX			.60	1.07000		SELL ONLY
Capital Group	American Funds Fundamental Investors? Class R-3	360802854	RFNCX			.50	0.92000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class A	02629W106	GBLAX	5.75		.25	0.81000		BUY,SELL
Capital Group	American Funds Global Balanced Fund Class C	02629W304	GBLCX		1.00	.99	1.55000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class F-1	02629W403	GBLEX			.25	0.86000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class F-2	02629W502	GBLFX				0.58000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class F-3	02629W775	GFBX				0.47000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Global Balanced Fund Class R-1	02629W866	RGBLX			1.00	1.53000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class R-2	02629W858	RGBBX			.75	1.54000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class R-2E	02629W791	RGGHX			.60	1.28000		SELL ONLY
Capital Group	American Funds Global Balanced Fund Class R-3	02629W841	RGBCX			.50	1.11000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class A	02630R617	PGGAX	5.75		.24	0.80000		BUY,SELL
Capital Group	American Funds Global Growth Portfolio Class C	02630R583	GGPCX		1.00	.99	1.55000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class F-1	02630R575	PGGFX			.25	0.82000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class F-2	02630R567	PGWFX				0.55000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class F-3	02630R344	PGXFX				0.45000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class R-1	02630R492	RGGAX			1.00	1.52000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class R-2	02630R484	RGBBX			.75	1.53000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class R-2E	02630R427	REBGX			.60	1.25000		SELL ONLY
Capital Group	American Funds Global Growth Portfolio Class R-3	02630R476	RGLCX			.50	1.09000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class A	14020E106	AGVFX	5.75		.30	0.86000		BUY,SELL
Capital Group	American Funds Global Insight Fund Class C	14020E205	AGVDX		1.00	1.00	1.56000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class F-1	14020E403	AGVEX			.25	0.82000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class F-2	14020E502	AGVGX				0.54000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class F-3	14020E601	AGVHX				0.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Global Insight Fund Class R-1	14020E858	RGLAX			1.00	1.52000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class R-2	14020E841	RGLBX			.74	1.52000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class R-2E	14020E833	RGLHX			.60	1.24000		SELL ONLY
Capital Group	American Funds Global Insight Fund Class R-3	14020E825	RGLDX			.50	1.12000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class A	02630R203	GAIOX	5.75		.26	0.66000		BUY,SELL
Capital Group	American Funds Growth and Income Portfolio Class C	02630R401	GAITX		1.00	1.00	1.40000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class F-1	02630R500	GAIFX			.25	0.70000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class F-2	02630R609	GAIEX				0.44000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class F-3	02630R351	GAIHX				0.34000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class R-1	02630R856	RGNAX			1.00	1.42000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class R-2	02630R849	RGNBX			.75	1.40000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class R-2E	02630R419	RBEGX			.60	1.14000		SELL ONLY
Capital Group	American Funds Growth and Income Portfolio Class R-3	02630R831	RAICX			.50	0.98000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class A	02630R781	GWPA X	5.75		.25	0.73000		BUY,SELL
Capital Group	American Funds Growth Portfolio Class C	02630R765	GWPC X		1.00	1.00	1.48000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class F-1	02630R757	GWPFX			.25	0.75000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class F-2	02630R740	GWPE X				0.47000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class F-3	02630R369	GWPD X				0.38000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Growth Portfolio Class R-1	02630R674	RGWA X			1.00	1.47000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class R-2	02630R666	RGWB X			.75	1.46000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class R-2E	02630R393	RBGEX			.60	1.17000		SELL ONLY
Capital Group	American Funds Growth Portfolio Class R-3	02630R658	RGPCX			.50	1.01000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class A	02630D105	BFIAX	2.50		.29	0.69000		BUY,SELL
Capital Group	American Funds Inflation Linked Bond Fund Class C	02630D303	BFICX		1.00	1.00	1.39000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class F-1	02630D402	BFIFX			.25	0.67000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class F-2	02630D501	BFIGX				0.40000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class F-3	02630D774	FILBX				0.29000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class R-1	02630D865	RILAX			1.00	1.41000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class R-2	02630D857	RILBX			.75	1.36000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class R-2E	02630D790	RILGX			.60	1.10000		SELL ONLY
Capital Group	American Funds Inflation Linked Bond Fund Class R-3	02630D840	RILCX			.50	0.93000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class A	458809100	AIBAX	2.50		.30	0.68000		BUY,SELL
Capital Group	American Funds Intermediate Bond Fund of America? Class C	458809308	IBFCX		1.00	1.00	1.38000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class F-1	458809407	IBFFX			.25	0.71000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class F-2	458809829	IBAFX				0.39000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class F-3	458809787	IFBFX				0.28000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Intermediate Bond Fund of America? Class R-1	458809878	RBOAX			1.00	1.34000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class R-2	458809860	RBOBX			.75	1.34000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class R-2E	458809118	REBBX			.60	1.06000		SELL ONLY
Capital Group	American Funds Intermediate Bond Fund of America? Class R-3	458809852	RBOCX			.50	0.92000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class A	45956T105	IGAAX	5.75		.25	0.90000		BUY,SELL
Capital Group	American Funds International Growth and Income Fund Class C	45956T303	IGICX		1.00	1.00	1.65000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class F-1	45956T402	IGIFX			.25	0.93000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class F-2	45956T501	IGFFX				0.65000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class F-3	45956T774	IGAIX				0.53000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class R-1	45956T865	RIGAX			1.00	1.64000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class R-2	45956T857	RIGBX			.75	1.63000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class R-2E	45956T790	RIIEX			.60	1.34000		SELL ONLY
Capital Group	American Funds International Growth and Income Fund Class R-3	45956T840	RGICX			.50	1.18000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class A	14019V101	AIVBX	5.75		.30	1.00000		BUY,SELL
Capital Group	American Funds International Vantage Fund Class C	14019V200	AIVCX		1.00	1.00	1.70000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class F-1	14019V408	AIVEX			.25	0.91000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class F-2	14019V507	AIVFX				0.64000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class F-3	14019V606	AIVGX				0.54000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds International Vantage Fund Class R-1	14019V853	RIVAX			1.00	1.62000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class R-2	14019V846	RIVDX			.74	1.58000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class R-2E	14019V838	RIVHX			.58	1.33000		SELL ONLY
Capital Group	American Funds International Vantage Fund Class R-3	14019V820	RIVIX			.50	1.23000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class A	461308108	AIVSX	5.75		.24	0.56000		BUY,SELL
Capital Group	American Funds Investment Company of America? Class C	461308306	AICCX		1.00	.99	1.31000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class F-1	461308405	AICFX			.24	0.63000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class F-2	461308827	ICAFX				0.37000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class F-3	461308777	FFICX				0.27000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class R-1	461308876	RICAX			.98	1.33000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class R-2	461308868	RICBX			.75	1.35000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class R-2E	461308793	RIBEX			.60	1.06000		SELL ONLY
Capital Group	American Funds Investment Company of America? Class R-3	461308850	RICCX			.50	0.91000		SELL ONLY
Capital Group	American Funds Limited Term Tax Exempt Bond Fund? Class C	532726304	LTXCX		1.00	1.00	1.31000		SELL ONLY
Capital Group	American Funds Limited Term Tax Exempt Bond Fund? Class F1	532726403	LTXFX			.25	0.64000		SELL ONLY
Capital Group	American Funds Limited Term Tax Exempt Bond Fund? Class F2	532726601	LTEFX				0.38000		SELL ONLY
Capital Group	American Funds Limited Term Tax-Exempt Bond Fund? Class F-3	532726809	FLTEX				0.27000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class A	02630Y265	BLPAX	5.75		.26	0.66000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Moderate Growth and Income Portfolio Class C	02630Y240	BLPCX		1.00	1.00	1.40000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class F-1	02630Y232	BLPFX			.25	0.70000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class F-2	02630Y224	BLPEX				0.45000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class F-3	02630Q106	BLPDX				0.35000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class R-1	02630Y158	RBAAX			.98	1.40000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class R-2	02630Y141	RBABX			.75	1.42000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class R-2E	02630R435	RBBEX			.60	1.15000		SELL ONLY
Capital Group	American Funds Moderate Growth and Income Portfolio Class R-3	02630Y133	RBACX			.50	0.99000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class A	02630V105	MFAAX	3.75		.25	0.72000		BUY,SELL
Capital Group	American Funds Mortgage Fund? Class C	02630V303	MFACX		1.00	1.00	1.47000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class F-1	02630V402	MFAEX			.25	0.66000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class F-2	02630V501	MFAFX				0.41000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class F-3	02630V774	AFFMX				0.30000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class R-1	02630V865	RMAAX			1.00	1.42000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class R-2	02630V857	RMABX			.75	1.39000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class R-2E	02630V790	RMBEX			.60	1.13000		SELL ONLY
Capital Group	American Funds Mortgage Fund? Class R-3	02630V840	RMACX			.50	0.96000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class A	02631W102	MIAQX	3.75		.30	0.75000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Multi-Sector Income Fund Class C	02631W201	MIAUX		1.00	1.00	1.45000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class F-1	02631W409	MIAWX			.25	0.74000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class F-2	02631W508	MIAYX				0.48000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class F-3	02631W607	MIAZX				0.37000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class R-1	02631W854	RMDNX			1.00	1.45000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class R-2	02631W847	RMDOX			.75	1.48000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class R-2E	02631W839	RMDPX			.60	1.18000		SELL ONLY
Capital Group	American Funds Multi-Sector Income Fund Class R-3	02631W821	RMDQX			.50	0.99000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class A	648018109	ANWPX	5.75		.24	0.71000		BUY,SELL
Capital Group	American Funds New Perspective Fund? Class C	648018307	NPFCX		1.00	1.00	1.47000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class F-1	648018406	NPFFX			.25	0.77000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class F-2	648018828	ANWFX				0.51000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class F-3	648018778	FNPFX				0.40000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class R-1	648018877	RNPAX			1.00	1.49000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class R-2	648018869	RNPBX			.75	1.49000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class R-2E	648018794	RPEBX			.60	1.20000		SELL ONLY
Capital Group	American Funds New Perspective Fund? Class R-3	648018851	RNPCX			.50	1.05000		SELL ONLY
Capital Group	American Funds New World Fund? Class A	649280104	NEWFX	5.75		.24	0.96000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds New World Fund? Class C	649280302	NEWCX		1.00	1.00	1.72000		SELL ONLY
Capital Group	American Funds New World Fund? Class F-1	649280401	NWFFX			.25	0.96000		SELL ONLY
Capital Group	American Funds New World Fund? Class F-2	649280823	NFFFX				0.68000		SELL ONLY
Capital Group	American Funds New World Fund? Class F-3	649280773	FNWFX				0.57000		SELL ONLY
Capital Group	American Funds New World Fund? Class R-1	649280872	RNWA X			1.00	1.66000		SELL ONLY
Capital Group	American Funds New World Fund? Class R-2	649280864	RNWB X			.75	1.66000		SELL ONLY
Capital Group	American Funds New World Fund? Class R-2E	649280799	RNEBX			.60	1.37000		SELL ONLY
Capital Group	American Funds New World Fund? Class R-3	649280856	RNWC X			.50	1.22000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class A	02630Y794	PPVAX	2.50		.30	0.66000		BUY,SELL
Capital Group	American Funds Preservation Portfolio Class C	02630Y778	PPVCX		1.00	1.00	1.36000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class F-1	02630Y760	PPVFX			.25	0.67000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class F-2	02630Y752	PPEFX				0.38000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class F-3	02630Q403	PPFFX				0.28000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class R-1	02630Y687	RPPVX			1.00	1.37000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class R-2	02630Y679	RPPBX			.75	1.35000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class R-2E	02630R385	RPBEX			.60	1.16000		SELL ONLY
Capital Group	American Funds Preservation Portfolio Class R-3	02630Y661	RPPCX			.49	0.90000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class A	02631L106	NAARX	5.75		.26	0.59000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Retirement Income Portfolio - Conservative Class C	02631L304	NGCRX		1.00	1.00	1.33000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class F-1	02631L403	FAFWX			.25	0.65000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class F-2	02631L502	FDFWX				0.40000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class F-3	02631L544	FICWX				0.30000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class R-1	02631L601	RARPX			1.00	1.32000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class R-2	02631L700	RDRPX			.75	1.28000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class R-2E	02631L809	RGRPX			.60	1.08000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Conservative Class R-3	02631L882	RJRPX			.50	0.95000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class A	02631L718	NDARX	5.75		.26	0.60000		BUY,SELL
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class C	02631L684	NDCRX		1.00	1.00	1.34000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class F-1	02631L676	FCFWX			.25	0.69000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class F-2	02631L668	FGFWX				0.42000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class F-3	02631L528	FIEWX				0.32000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class R-1	02631L650	RCRPX			.99	1.32000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class R-2	02631L643	RFRPX			.75	1.17000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class R-2E	02631L635	RIRPX			.59	1.11000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Enhanced Class R-3	02631L627	RLRPX			.50	0.90000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class A	02631L841	NBARX	5.75		.27	0.60000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Retirement Income Portfolio - Moderate Class C	02631L825	NBCRX		1.00	1.00	1.33000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class F-1	02631L817	FBFWX			.25	0.66000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class F-2	02631L791	FHFWX				0.40000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class F-3	02631L536	FIMWX				0.31000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class R-1	02631L783	RBRPX			1.00	1.32000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class R-2	02631L775	RERPX			.75	1.20000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class R-2E	02631L767	RHRPX			.60	1.09000		SELL ONLY
Capital Group	American Funds Retirement Income Portfolio - Moderate Class R-3	02631L759	RKRPX			.50	0.92000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class A	82524A102	ASBAX	2.50		.30	0.68000		BUY,SELL
Capital Group	American Funds Short-Term Bond Fund of America? Class C	82524A300	ASBCX		1.00	1.00	1.38000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class F-1	82524A409	ASBFX			.25	0.67000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class F-2	82524A821	SBFFX				0.40000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class F-3	82524A771	FSBTX				0.29000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class R-1	82524A888	RAMAX			1.00	1.38000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class R-2	82524A870	RAMBX			.75	1.35000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class R-2E	82524A797	RAAEX			.60	1.03000		SELL ONLY
Capital Group	American Funds Short-Term Bond Fund of America? Class R-3	82524A862	RAMCX			.50	0.92000		SELL ONLY
Capital Group	American Funds Short-Term Tax Exempt Bond Fund? Class F-3	02630W707	SFTEX				0.25000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Short-Term Tax-Exempt Bond Fund? Class F-1	02630W509	FSTTX			.25	0.63000		SELL ONLY
Capital Group	American Funds Short-Term Tax-Exempt Bond Fund? Class F-2	02630W608	ASTFX				0.32000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class A	831681101	SMCW X	5.75		.25	1.03000		BUY,SELL
Capital Group	American Funds SMALLCAP World Fund? Class C	831681309	SCWC X		1.00	.99	1.77000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class F-1	831681408	SCWFX			.24	1.07000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class F-2	831681820	SMCFX				0.76000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class F-3	831681770	SFCWX				0.65000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class R-1	831681879	RSLAX			1.00	1.74000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class R-2	831681861	RSLBX			.75	1.74000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class R-2E	831681796	RSEBX			.60	1.45000		SELL ONLY
Capital Group	American Funds SMALLCAP World Fund? Class R-3	831681853	RSLCX			.50	1.30000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class A	02631E102	ANBAX	3.75		.30	0.72000		BUY,SELL
Capital Group	American Funds Strategic Bond Fund Class C	02631E300	ANBCX		1.00	1.00	1.42000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class F-1	02631E409	ANBEX			.25	0.70000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class F-2	02631E508	ANBFX				0.42000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class F-3	02631E771	ANBGX				0.31000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class R-1	02631E862	RANAX			1.00	1.40000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class R-2	02631E854	RANBX			.75	1.34000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds Strategic Bond Fund Class R-2E	02631E847	RANHX			.60	1.12000		SELL ONLY
Capital Group	American Funds Strategic Bond Fund Class R-3	02631E839	RANCX			.50	0.95000		SELL ONLY
Capital Group	American Funds Tax Exempt Bond Fund? Class F-3	876902800	TFEBX				0.27000		SELL ONLY
Capital Group	American Funds Tax-Aware Conservative Growth and Income Portfolio Class A	02630Y620	TAIAX	3.75		.28	0.64000		BUY,SELL
Capital Group	American Funds Tax-Aware Conservative Growth and Income Portfolio Class C	02630Y596	TAICX		1.00	1.00	1.36000		SELL ONLY
Capital Group	American Funds Tax-Aware Conservative Growth and Income Portfolio Class F-1	02630Y588	TAIFX			.25	0.70000		SELL ONLY
Capital Group	American Funds Tax-Aware Conservative Growth and Income Portfolio Class F-2	02630Y570	TXIFX				0.43000		SELL ONLY
Capital Group	American Funds Tax-Aware Conservative Growth and Income Portfolio Class F-3	02630Q304	TYIFX				0.33000		SELL ONLY
Capital Group	American Funds Tax-Exempt Bond Fund? Class C	876902305	TEBCX		1.00	1.00	1.30000		SELL ONLY
Capital Group	American Funds Tax-Exempt Bond Fund? Class F1	876902404	AFTFX			.25	0.63000		SELL ONLY
Capital Group	American Funds Tax-Exempt Bond Fund? Class F2	876902602	TEAFX				0.38000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of California? Class C	02630B307	TECCX		1.00	1.00	1.31000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of California? Class F-1	02630B406	TECFX			.25	0.66000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of California? Class F-2	02630B604	TEFEX				0.40000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of California? Class F-3	02630B703	EXCAX				0.29000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of New York? Class C	02630X309	NYACX		1.00	1.00	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
Capital Group	American Funds Tax-Exempt Fund of New York? Class F-1	02630X408	NYAEX			.25	0.76000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of New York? Class F-2	02630X507	NYAFX				0.49000		SELL ONLY
Capital Group	American Funds Tax-Exempt Fund of New York? Class F-3	02630X606	TFNYX				0.37000		SELL ONLY
Capital Group	American Funds Tax-Exempt Preservation Portfolio Class C	02630Y307	TEPCX		1.00	1.00	1.31000		SELL ONLY
Capital Group	American Funds Tax-Exempt Preservation Portfolio Class F-1	02630Y406	TEPFX			.25	0.65000		SELL ONLY
Capital Group	American Funds Tax-Exempt Preservation Portfolio Class F-2	02630Y505	TXEFX				0.37000		SELL ONLY
Capital Group	American Funds Tax-Exempt Preservation Portfolio Class F-3	02630Q502	TYEFX				0.27000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class A	097873103	ABNDX	3.75		.25	0.62000		BUY,SELL
Capital Group	American Funds The Bond Fund of America? Class C	097873301	BFACX		1.00	.99	1.36000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class F-1	097873400	BFAFX			.25	0.66000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class F-2	097873822	ABNFX				0.36000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class F-3	097873772	BFFAX				0.25000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class R-1	097873871	RBFAF			1.00	1.34000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class R-2	097873863	RBFBX			.75	1.34000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class R-2E	097873798	RBEBX			.60	1.05000		SELL ONLY
Capital Group	American Funds The Bond Fund of America? Class R-3	097873855	RBFCX			.50	0.90000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class A	399874106	AGTHX	5.75		.24	0.59000		BUY,SELL
Capital Group	American Funds The Growth Fund of America? Class C	399874304	GFACX		1.00	1.00	1.35000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds The Growth Fund of America? Class F-1	399874403	GFAFX			.25	0.65000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class F-2	399874825	GFFFX				0.40000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class F-3	399874775	GAFFX				0.29000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class R-1	399874874	RGAAAX			.99	1.37000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class R-2	399874866	RGABX			.75	1.38000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class R-2E	399874791	RGEBX			.60	1.08000		SELL ONLY
Capital Group	American Funds The Growth Fund of America? Class R-3	399874858	RGACX			.50	0.93000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class A	453320103	AMECX	5.75		.25	0.56000		BUY,SELL
Capital Group	American Funds The Income Fund of America? Class C	453320301	IFACX		1.00	1.00	1.31000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class F-1	453320400	IFAFX			.25	0.63000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class F-2	453320822	AMEFX				0.37000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class F-3	453320772	FIFAX				0.26000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class R-1	453320871	RIDAX			.99	1.34000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class R-2	453320863	RIDBX			.75	1.35000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class R-2E	453320798	RIEBX			.60	1.06000		SELL ONLY
Capital Group	American Funds The Income Fund of America? Class R-3	453320855	RIDCX			.50	0.90000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class A	643822109	ANEFX	5.75		.24	0.75000		BUY,SELL
Capital Group	American Funds The New Economy Fund? Class C	643822307	ANFCX		1.00	.99	1.50000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American Funds The New Economy Fund? Class F-1	643822406	ANFFX			.24	0.79000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class F-2	643822828	NEFFX				0.52000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class F-3	643822778	FNEFX				0.41000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class R-1	643822877	RNGAX			.99	1.49000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class R-2	643822869	RNGBX			.75	1.50000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class R-2E	643822794	RNNEX			.60	1.21000		SELL ONLY
Capital Group	American Funds The New Economy Fund? Class R-3	643822851	RNGCX			.50	1.06000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class A	026300103	AMUSX	3.75		.26	0.68000		BUY,SELL
Capital Group	American Funds U.S. Government Securities Fund? Class C	026300301	UGSCX		1.00	.99	1.41000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class F-1	026300400	UGSFX			.24	0.71000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class F-2	026300822	GVTFX				0.39000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class F-3	026300772	USGFX				0.28000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class R-1	026300871	RGVAX			.99	1.36000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class R-2	026300863	RGVBX			.74	1.35000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class R-2E	026300798	RGEVX			.60	1.08000		SELL ONLY
Capital Group	American Funds U.S. Government Securities Fund? Class R-3	026300855	RGVCX			.50	0.92000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class A	939330106	AWSHX	5.75		.24	0.55000		BUY,SELL
Capital Group	American Funds Washington Mutual Investors Fund Class C	939330304	WSHCX		1.00	.99	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
Capital Group	American Funds Washington Mutual Investors Fund Class F-1	939330403	WSHFX			.25	0.63000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class F-2	939330825	WMFFX				0.37000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class F-3	939330775	FWMIX				0.26000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class R-1	939330874	RWMA X			.99	1.34000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class R-2	939330866	RWMB X			.75	1.35000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class R-2E	939330791	RWEBX			.60	1.06000		SELL ONLY
Capital Group	American Funds Washington Mutual Investors Fund Class R-3	939330858	RWMC X			.50	0.91000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class A	02631G107	AFCPX	3.75		.30	1.02000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class C	02631G206	AFACX		1.00	1.00	1.72000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class F-1	02631G305	AFAEX			.25	0.99000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class F-2	02631G404	AFCFX				0.72000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class F-3	02631G503	CPAFX				0.61000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class R1	02631G859	AFPLX			1.00	1.70000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class R2	02631G842	AFPMX			.75	1.65000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class R-2E	02631G834	AFPNX			.60	1.42000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class R3	02631G826	AFPOX			.50	1.25000		SELL ONLY
Capital Group	American Funds? Core Plus Bond Fund Class R4	02631G818	AFPPX			.25	0.95000		SELL ONLY
Capital Group	American High-Income Municipal Bond Fund? Class C	026545301	AHICX		1.00	1.00	1.36000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Capital Group	American High-Income Municipal Bond Fund? Class F-1	026545400	ABHFX			.25	0.68000		SELL ONLY
Capital Group	American High-Income Municipal Bond Fund? Class F-2	026545608	AHMFEX				0.42000		SELL ONLY
Capital Group	American High-Income Municipal Bond Fund? Class F-3	026545806	HIMFX				0.31000		SELL ONLY
Capital Group	Emerging Markets Equities Fund, Inc. Class F-3	290886209	EMGEX				0.80000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Mid Cap Value Class I	16140T301	BERCX			.00	1.35000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Mid Cap Value Fund Class A	14214M393	BERAX	4.75		.25	1.59000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Mid Cap Value Fund Class C	14214M385	BERBX		1.00	1.00	2.34000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Real Income Class I	16140T202	BERIX			.00	0.65000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Real Income Fund Class A	14214M468	BERGX	3.75		.25	0.82000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Real Income Fund Class C	14214M450	BERHX		1.00	1.00	1.58000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Short Duration High Yield Class I	16140T400	CWFIX			.00	0.58000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Short Duration High Yield Fund Class A	14214M435	CWFAX	3.75		.25	0.74000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Short Duration High Yield Fund Class C	14214M427	CWFCX		1.00	1.00	1.49000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Fund Class A	14214M823	CSSAX	4.75		.25	1.14000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Fund Class C	14214M815	CSSJX			1.00	1.88000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Fund Class I	14214M799	UMBHX			.00	0.90000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Growth Class I	16140T608	CWSGX			.00	2.09000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Growth Fund Class A	14214M369	CWSAX	4.75		.25	2.68000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Carillon Family of Funds	Carillon Chartwell Small Cap Growth Fund Class C	14214M351	CWSBX		1.00	1.00	3.12000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Value Class I	16140T509	CWSIX			.00	1.24000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Value Fund Class A	14214M336	CWSCX	4.75		.25	1.42000		SELL ONLY
Carillon Family of Funds	Carillon Chartwell Small Cap Value Fund Class C	14214M328	CWSHX		1.00	1.00	2.17000		SELL ONLY
Carillon Family of Funds	Carillon ClariVest Capital Appreciation Fund Class A	14214L106	HRCPX	4.75		.25	1.00000		SELL ONLY
Carillon Family of Funds	Carillon ClariVest Capital Appreciation Fund Class C	14214L205	HRCCX			1.00	1.75000		SELL ONLY
Carillon Family of Funds	Carillon ClariVest Capital Appreciation Fund Class I	14214L304	HRCIX			.00	0.75000		SELL ONLY
Carillon Family of Funds	Carillon ClariVest International Stock Fund Class A	14214L825	EISAX	4.75		.25	1.28000		SELL ONLY
Carillon Family of Funds	Carillon ClariVest International Stock Fund Class C	14214L817	EISDX			1.00	1.99000		SELL ONLY
Carillon Family of Funds	Carillon ClariVest International Stock Fund Class I	14214L791	EISIX			.00	1.02000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Growth & Income Fund Class A	14214L809	HRCVX	4.75		.25	0.97000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Growth & Income Fund Class C	14214L882	HIGCX			1.00	1.71000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Growth & Income Fund Class I	14214L874	HIGJX			.00	0.71000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Mid Cap Growth Fund Class A	14214L668	HAGAX	4.75		.25	1.05000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Mid Cap Growth Fund Class C	14214L650	HAGCX			1.00	1.74000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Mid Cap Growth Fund Class I	14214L643	HAGIX			.00	0.75000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Small Cap Growth Fund Class A	14214L510	HRSCX	4.75		.25	1.17000		SELL ONLY
Carillon Family of Funds	Carillon Eagle Small Cap Growth Fund Class C	14214L494	HSCCX			1.00	1.87000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Carillon Family of Funds	Carillon Eagle Small Cap Growth Fund Class I	14214L486	HSIIX			.00	0.88000		SELL ONLY
Carillon Family of Funds	Carillon Reams Core Bond Fund Class A	14214L270	CRCBX	3.75		.25	0.92000		SELL ONLY
Carillon Family of Funds	Carillon Reams Core Bond Fund Class C	14214L262	CRCDX		1.00	1.00	1.61000		SELL ONLY
Carillon Family of Funds	Carillon Reams Core Bond Fund Class I	14214L254	SCCIX			.00	0.62000		SELL ONLY
Carillon Family of Funds	Carillon Reams Core Plus Bond Fund Class A	14214M666	SCPDX	3.75		.25	0.94000		SELL ONLY
Carillon Family of Funds	Carillon Reams Core Plus Bond Fund Class C	14214M658	SCPEX		1.00	1.00	1.65000		SELL ONLY
Carillon Family of Funds	Carillon Reams Core Plus Bond Fund Class I	14214M641	SCPZX			.00	0.65000		SELL ONLY
Carillon Family of Funds	Carillon Reams Unconstrained Bond Fund Class A	14214M740	SUBDX	3.75		.25	1.04000		SELL ONLY
Carillon Family of Funds	Carillon Reams Unconstrained Bond Fund Class C	14214M732	SUBEX		1.00	1.00	1.74000		SELL ONLY
Carillon Family of Funds	Carillon Reams Unconstrained Bond Fund Class I	14214M724	SUBFX			.00	0.76000		SELL ONLY
Carillon Family of Funds	Carillon Scout Mid Cap Fund Class A	14214M807	CSMEX	4.75		.25	1.26000		SELL ONLY
Carillon Family of Funds	Carillon Scout Mid Cap Fund Class C	14214M880	CSMFX			1.00	2.00000		SELL ONLY
Carillon Family of Funds	Carillon Scout Mid Cap Fund Class I	14214M872	UMBMX			.00	0.99000		SELL ONLY
Causeway	Causeway Emerging Markets Fund Class Institutional	149498107	CEMIX				1.14000		SELL ONLY
Causeway	Causeway Emerging Markets Fund Investor Class	149498206	CEMVX				1.39000		SELL ONLY
Causeway	Causeway Global Value Fund Institutional Class	14949P307	CGVIX				1.19000		SELL ONLY
Causeway	Causeway Global Value Fund Investor	14949P604	CGVVX				1.43000		SELL ONLY
Causeway	Causeway International Opportunities Fund Institutional Class	14949Q107	CIOIX				0.99000		SELL ONLY
Causeway	Causeway International Opportunities Fund Investor Class	14949Q206	CIOVX				1.24000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Causeway	Causeway International Small Cap Fund Institutional Class	14949P703	CIISX				1.21000		SELL ONLY
Causeway	Causeway International Small Cap Fund Investor Class	14949P802	CVISX				1.44000		SELL ONLY
Causeway	Causeway International Value Fund Class Institutional	14949P208	CIVIX				0.87000		SELL ONLY
Causeway	Causeway International Value Fund Class Investor	14949P109	CIVVX				1.12000		SELL ONLY
Champlain Funds	Champlain Mid Cap Fund Advisor Class	00764Q744	CIPMX			.25	1.09000		SELL ONLY
Champlain Funds	Champlain Mid Cap Fund Institutional Class	00766Y513	CIPIX				0.84000		SELL ONLY
Champlain Funds	Champlain Small Company Fund Class Advisor	00764Q405	CIPSX			.25	1.24000		SELL ONLY
Champlain Funds	Champlain Small Company Fund Institutional Class	00766Y190	CIPNX				0.99000		SELL ONLY
Clipper Fund	Clipper Fund	188850101	CFIMX			.00	0.70000		SELL ONLY
Cohen & Steers	Cohen & Steers Future of Energy Fund, Inc. Class A	19249F107	MLOAX	4.50		.25	1.65000		SELL ONLY
Cohen & Steers	Cohen & Steers Future of Energy Fund, Inc. Class C	19249F206	MLOCX		1.00	.75	2.30000		SELL ONLY
Cohen & Steers	Cohen & Steers Future of Energy Fund, Inc. Class I	19249F305	MLOIX				1.37000		SELL ONLY
Cohen & Steers	Cohen & Steers Future of Energy Fund, Inc. Class Z	19249F404	MLOZX				1.30000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Infrastructure Fund, Inc. Class A	19248B107	CSUAX	4.50		.25	1.22000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Infrastructure Fund, Inc. Class C	19248B305	CSUCX		1.00	.75	1.87000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Infrastructure Fund, Inc. Class I	19248B404	CSUIX				0.87000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Infrastructure Fund, Inc. Class Z	19248B602	CSUZX				0.87000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Realty Shares, Inc. Class A	19247N102	CSFAX	4.50		.25	1.19000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Realty Shares, Inc. Class C	19247N300	CSFCX		1.00	.75	1.84000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Cohen & Steers	Cohen & Steers Global Realty Shares, Inc. Class I	19247N409	CSSPX				0.93000		SELL ONLY
Cohen & Steers	Cohen & Steers Global Realty Shares, Inc. Class Z	19247N607	CSFZX				0.84000		SELL ONLY
Cohen & Steers	Cohen & Steers Institutional Realty Shares	19247U106	CSRIX				0.76000		SELL ONLY
Cohen & Steers	Cohen & Steers International Realty Fund Class A	19248H104	IRFAX	4.50		.25	1.48000		SELL ONLY
Cohen & Steers	Cohen & Steers International Realty Fund Class C	19248H302	IRFCX		1.00	.75	2.13000		SELL ONLY
Cohen & Steers	Cohen & Steers International Realty Fund Class I	19248H401	IRFIX				1.22000		SELL ONLY
Cohen & Steers	Cohen & Steers International Realty Fund Class Z	19248H609	IRFZX				1.13000		SELL ONLY
Cohen & Steers	Cohen & Steers Low Duration Preferred and Income Fund Class A	19249L104	LPXAX	2.00		.35	1.10000		SELL ONLY
Cohen & Steers	Cohen & Steers Low Duration Preferred and Income Fund Class C	19249L203	LPXCX		1.00	1.00	1.75000		SELL ONLY
Cohen & Steers	Cohen & Steers Low Duration Preferred and Income Fund Class F	19249L609	LPXFX				0.75000		SELL ONLY
Cohen & Steers	Cohen & Steers Low Duration Preferred and Income Fund Class I	19249L302	LPXIX				0.82000		SELL ONLY
Cohen & Steers	Cohen & Steers Low Duration Preferred and Income Fund Class Z	19249L500	LPXZX				0.75000		SELL ONLY
Cohen & Steers	Cohen & Steers Preferred Securities and Income Fund, Inc. Class A	19248X109	CPXAX	3.75		.25	1.14000		BUY,SELL
Cohen & Steers	Cohen & Steers Preferred Securities and Income Fund, Inc. Class C	19248X208	CPXCX		1.00	.75	1.79000		SELL ONLY
Cohen & Steers	Cohen & Steers Preferred Securities and Income Fund, Inc. Class F	19248X604	CPXFX				0.79000		SELL ONLY
Cohen & Steers	Cohen & Steers Preferred Securities and Income Fund, Inc. Class I	19248X307	CPXIX				0.86000		SELL ONLY
Cohen & Steers	Cohen & Steers Preferred Securities and Income Fund, Inc. Class Z	19248X505	CPXZX				0.80000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Assets Fund Inc Class A	19249C104	RAPAX	4.50		.25	1.28000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Cohen & Steers	Cohen & Steers Real Assets Fund Inc Class C	19249C203	RAPCX		1.00	.75	1.93000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Assets Fund Inc Class I	19249C302	RAPIX				1.01000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Assets Fund Inc Class Z	19249C500	RAPZX				0.93000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Estate Securities Fund, Inc. Class A	191912104	CSEIX	4.50		.25	1.10000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Estate Securities Fund, Inc. Class C	191912302	CSCIX		1.00	.75	1.75000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Estate Securities Fund, Inc. Class F	191912708	CREFX				0.75000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Estate Securities Fund, Inc. Class Institutional	191912401	CSDIX				0.84000		SELL ONLY
Cohen & Steers	Cohen & Steers Real Estate Securities Fund, Inc. Class Z	191912609	CSZIX				0.75000		SELL ONLY
Cohen & Steers	Cohen & Steers Realty Shares Fund Class A	192476208	CSJAX	4.50		.25	1.18000		SELL ONLY
Cohen & Steers	Cohen & Steers Realty Shares Fund Class C	192476307	CSJCX		1.00	.75	1.83000		SELL ONLY
Cohen & Steers	Cohen & Steers Realty Shares Fund Class I	192476505	CSJIX				0.91000		SELL ONLY
Cohen & Steers	Cohen & Steers Realty Shares Fund Class L	192476109	CSRSX				0.93000		SELL ONLY
Cohen & Steers	Cohen & Steers Realty Shares Fund Class Z	192476703	CSJZX				0.83000		SELL ONLY
Columbia Threadneedle	Columbia Acorn European Fund Class A	197199573	CAEAX	5.75		.25	1.61000		SELL ONLY
Columbia Threadneedle	Columbia Acorn European Fund Institutional Class	197199540	CAEZX			.00	1.36000		SELL ONLY
Columbia Threadneedle	Columbia Acorn Fund Class A	197199102	LACAX	5.75		.25	1.10000		BUY,SELL
Columbia Threadneedle	Columbia Acorn Fund Class C	197199300	LIACX		1.00	1.00	1.85000		SELL ONLY
Columbia Threadneedle	Columbia Acorn Fund Institutional 3 Class	197199474	CRBYX			.00	0.77000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Acorn Fund Institutional Class	197199409	ACRNX			.00	0.85000		SELL ONLY
Columbia Threadneedle	Columbia Acorn International Fund Class A	197199847	LAIAX	5.75		.25	1.30000		BUY,SELL
Columbia Threadneedle	Columbia Acorn International Fund Institutional 3 Class	197199458	CCYIX			.00	0.94000		SELL ONLY
Columbia Threadneedle	Columbia Acorn International Fund Institutional Class	197199813	ACINX			.00	1.05000		SELL ONLY
Columbia Threadneedle	Columbia Acorn International Select Fund Class A	197199797	LAFAX	5.75		.25	1.44000		BUY,SELL
Columbia Threadneedle	Columbia Acorn International Select Fund Institutional 3 Class	197199425	CSIRX			.00	1.00000		SELL ONLY
Columbia Threadneedle	Columbia Acorn International Select Fund Institutional Class	197199763	ACFFX			.00	1.19000		SELL ONLY
Columbia Threadneedle	Columbia Adaptive Risk Allocation Fund Class A	19765Y258	CRAAX	5.75		.25	1.06000		SELL ONLY
Columbia Threadneedle	Columbia Adaptive Risk Allocation Fund Class C	19765Y241	CRACX		1.00	1.00	1.81000		SELL ONLY
Columbia Threadneedle	Columbia Adaptive Risk Allocation Fund Institutional 3 Class	19766D162	CARYX			.00	0.77000		SELL ONLY
Columbia Threadneedle	Columbia Adaptive Risk Allocation Fund Institutional Class	19765Y175	CRAZX			.00	0.81000		SELL ONLY
Columbia Threadneedle	Columbia Balanced Fund Class A	19765P471	CBLAX	5.75		.25	0.93000		BUY,SELL
Columbia Threadneedle	Columbia Balanced Fund Class C	19765P455	CBLCX		1.00	1.00	1.68000		SELL ONLY
Columbia Threadneedle	Columbia Balanced Fund Institutional 3 Class	19766M204	CBDYX			.00	0.60000		SELL ONLY
Columbia Threadneedle	Columbia Balanced Fund Institutional Class	19765P430	CBALX			.00	0.68000		SELL ONLY
Columbia Threadneedle	Columbia Bond Fund Class A	19765Y704	CNDAX	4.75		.25	0.89000		BUY,SELL
Columbia Threadneedle	Columbia Bond Fund Institutional 3 Class	19765Y274	CBFYX			.00	0.55000		SELL ONLY
Columbia Threadneedle	Columbia Bond Fund Institutional Class	19765Y886	UMMG X			.00	0.64000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia California Intermediate Muni Bond Fund Institutional 3 Class	19766P827	CCBYX			.00	0.52000		SELL ONLY
Columbia Threadneedle	Columbia California Intermediate Muni Bond Fund Institutional Class	19765J673	NCMAX			.00	0.58000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Aggressive Portfolio Class A	19766G611	AXBAX	5.75		.25	1.03000		BUY,SELL
Columbia Threadneedle	Columbia Capital Allocation Aggressive Portfolio Class C	19766G587	RBGCX		1.00	1.00	1.78000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Aggressive Portfolio Institutional 3 Class	19766N806	CPDIX			.00	0.71000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Aggressive Portfolio Institutional Class	19766G553	CPAZX			.00	0.78000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Conservative Portfolio Class A	19766G546	ABDAX	4.75		.25	0.94000		BUY,SELL
Columbia Threadneedle	Columbia Capital Allocation Conservative Portfolio Class C	19766G520	RPCCX		1.00	1.00	1.69000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Conservative Portfolio Institutional Class	19766G488	CBVZX			.00	0.69000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Aggressive Portfolio Class A	19765H792	NBIAX	5.75		.25	0.99000		BUY,SELL
Columbia Threadneedle	Columbia Capital Allocation Moderate Aggressive Portfolio Class C	19765H776	NBICX		1.00	1.00	1.74000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Aggressive Portfolio Institutional 3 Class	19766B224	CPHNX			.00	0.65000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Aggressive Portfolio Institutional Class	19765H768	NBGPX			.00	0.74000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Conservative Portfolio Class A	19765H503	NLGAX	5.75		.25	0.91000		BUY,SELL
Columbia Threadneedle	Columbia Capital Allocation Moderate Conservative Portfolio Class C	19765H701	NIICX		1.00	1.00	1.66000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Conservative Portfolio Institutional Class	19765H800	NIPAX			.00	0.66000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Portfolio Class A	19766G348	ABUAX	5.75		.25	0.93000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Capital Allocation Moderate Portfolio Class C	19766G322	AMTCX		1.00	1.00	1.68000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Portfolio Institutional 3 Class	19766N608	CPDMX			.00	0.62000		SELL ONLY
Columbia Threadneedle	Columbia Capital Allocation Moderate Portfolio Institutional Class	19766G280	CBMZ			.00	0.68000		SELL ONLY
Columbia Threadneedle	Columbia Commodity Strategy Fund Class A	19766J771	CCSAX	5.75		.25	1.11000		BUY,SELL
Columbia Threadneedle	Columbia Commodity Strategy Fund Institutional 3 Class	19766J623	CCFYX			.00	0.70000		SELL ONLY
Columbia Threadneedle	Columbia Commodity Strategy Fund Institutional Class	19766J748	CCSZX			.00	0.86000		SELL ONLY
Columbia Threadneedle	Columbia Contrarian Core Fund Class A	19765P109	LCCAX	5.75		.25	0.99000		BUY,SELL
Columbia Threadneedle	Columbia Contrarian Core Fund Class C	19765P307	LCCCX		1.00	1.00	1.74000		SELL ONLY
Columbia Threadneedle	Columbia Contrarian Core Fund Institutional 3 Class	19766M709	COFYX			.00	0.62000		SELL ONLY
Columbia Threadneedle	Columbia Contrarian Core Fund Institutional Class	19765P406	SMGIX			.00	0.74000		SELL ONLY
Columbia Threadneedle	Columbia Convertible Securities Fund Class A	19765H750	PACIX	5.75		.25	1.15000		BUY,SELL
Columbia Threadneedle	Columbia Convertible Securities Fund Class C	19765H735	PHIKX		1.00	1.00	1.90000		SELL ONLY
Columbia Threadneedle	Columbia Convertible Securities Fund Institutional 3 Class	19766P702	CSFYX			.00	0.81000		SELL ONLY
Columbia Threadneedle	Columbia Convertible Securities Fund Institutional Class	19765H727	NCIAX			.00	0.90000		SELL ONLY
Columbia Threadneedle	Columbia Cornerstone Equity Fund Class A	19765H313	NSGAX	5.75		.25	1.10000		BUY,SELL
Columbia Threadneedle	Columbia Cornerstone Equity Fund Class C	19765H289	NSGCX		1.00	1.00	1.85000		SELL ONLY
Columbia Threadneedle	Columbia Cornerstone Equity Fund Institutional 3 Class	19766P694	CLEYX			.00	0.74000		SELL ONLY
Columbia Threadneedle	Columbia Cornerstone Equity Fund Institutional Class	19765H271	NSEPX			.00	0.85000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Cornerstone Growth Fund Class A	19765P695	LEGAX	5.75		.25	0.97000		BUY,SELL
Columbia Threadneedle	Columbia Cornerstone Growth Fund Class C	19765P679	LEGCX		1.00	1.00	1.72000		SELL ONLY
Columbia Threadneedle	Columbia Cornerstone Growth Fund Institutional 3 Class	19765Y365	CGFYX			.00	0.65000		SELL ONLY
Columbia Threadneedle	Columbia Cornerstone Growth Fund Institutional Class	19765P661	GEGTX			.00	0.72000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Core Fund Class A	19763T640	AQEAX	5.75		.25	0.94000		BUY,SELL
Columbia Threadneedle	Columbia Disciplined Core Fund Class C	19763T624	RDCEX		1.00	1.00	1.69000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Core Fund Institutional 3 Class	19766J565	CCQYX			.00	0.63000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Core Fund Institutional Class	19763T566	CCRZX			.00	0.69000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Growth Fund Class A	19763T749	RDLAX	5.75		.25	1.15000		BUY,SELL
Columbia Threadneedle	Columbia Disciplined Growth Fund Class C	19763T723	RDLCX		1.00	1.00	1.90000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Growth Fund Institutional 3 Class	19766J540	CGQYX			.00	0.82000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Growth Fund Institutional Class	19763T657	CLQZX			.00	0.90000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Value Fund Class A	19763T558	RLCAX	5.75		.25	1.19000		BUY,SELL
Columbia Threadneedle	Columbia Disciplined Value Fund Class C	19763T533	RDCCX		1.00	1.00	1.94000		SELL ONLY
Columbia Threadneedle	Columbia Disciplined Value Fund Institutional Class	19763T467	CVQZX			.00	0.94000		SELL ONLY
Columbia Threadneedle	Columbia Dividend Income Fund Class A	19765N278	LBSAX	5.75		.25	0.90000		BUY,SELL
Columbia Threadneedle	Columbia Dividend Income Fund Class C	19765N252	LBSCX		1.00	1.00	1.65000		SELL ONLY
Columbia Threadneedle	Columbia Dividend Income Fund Institutional 3 Class	19766M840	CDDYX			.00	0.54000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Dividend Income Fund Institutional Class	19765N245	GSFTX			.00	0.65000		SELL ONLY
Columbia Threadneedle	Columbia Dividend Opportunity Fund Class A	19763P283	INUTX	5.75		.25	1.03000		BUY,SELL
Columbia Threadneedle	Columbia Dividend Opportunity Fund Class C	19763P267	ACUIX		1.00	1.00	1.78000		SELL ONLY
Columbia Threadneedle	Columbia Dividend Opportunity Fund Institutional 3 Class	19766C560	CDOYX			.00	0.70000		SELL ONLY
Columbia Threadneedle	Columbia Dividend Opportunity Fund Institutional Class	19763P192	CDOZX			.00	0.78000		SELL ONLY
Columbia Threadneedle	Columbia Emerging Markets Bond Fund Class A	19763P184	REBAX	4.75		.25	1.13000		SELL ONLY
Columbia Threadneedle	Columbia Emerging Markets Bond Fund Institutional 3 Class	19766C545	CEBYX			.00	0.70000		SELL ONLY
Columbia Threadneedle	Columbia Emerging Markets Bond Fund Institutional Class	19763P127	CMBZX			.00	0.88000		SELL ONLY
Columbia Threadneedle	Columbia Emerging Markets Fund Class A	19765Y878	EEMAX	5.75		.25	1.54000		BUY,SELL
Columbia Threadneedle	Columbia Emerging Markets Fund Class C	19765Y860	EEMCX		1.00	1.00	2.29000		SELL ONLY
Columbia Threadneedle	Columbia Emerging Markets Fund Institutional 3 Class	19766M824	CEKYX			.00	1.16000		SELL ONLY
Columbia Threadneedle	Columbia Emerging Markets Fund Institutional Class	19765Y852	UMEMX			.00	1.29000		SELL ONLY
Columbia Threadneedle	Columbia Flexible Capital Income Fund Class A	19766J888	CFIAX	5.75		.25	1.11000		BUY,SELL
Columbia Threadneedle	Columbia Flexible Capital Income Fund Class C	19766J870	CFIGX		1.00	1.00	1.86000		SELL ONLY
Columbia Threadneedle	Columbia Flexible Capital Income Fund Institutional 3 Class	19766J466	CFCYX			.00	0.79000		SELL ONLY
Columbia Threadneedle	Columbia Flexible Capital Income Fund Institutional Class	19766J847	CFIZX			.00	0.86000		SELL ONLY
Columbia Threadneedle	Columbia Floating Rate Fund Class A	19766F696	RFRAX	3.00		.25	1.07000		BUY,SELL
Columbia Threadneedle	Columbia Floating Rate Fund Class C	19766F670	RFRCX		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
Columbia Threadneedle	Columbia Floating Rate Fund Institutional 3 Class	19766J573	CFRYX			.00	0.74000		SELL ONLY
Columbia Threadneedle	Columbia Floating Rate Fund Institutional Class	19766F613	CFRZX			.00	0.82000		SELL ONLY
Columbia Threadneedle	Columbia Global Opportunities Fund Class A	19766H221	IMRFX	5.75		.25	1.22000		SELL ONLY
Columbia Threadneedle	Columbia Global Opportunities Fund Institutional Class	19766H155	CSAZX			.00	0.97000		SELL ONLY
Columbia Threadneedle	Columbia Global Technology Growth Fund Class A	19765P539	CTCAX	5.75		.25	1.17000		SELL ONLY
Columbia Threadneedle	Columbia Global Technology Growth Fund Class C	19765P513	CTHCX		1.00	1.00	1.92000		SELL ONLY
Columbia Threadneedle	Columbia Global Technology Growth Fund Institutional 3 Class	19767A647	CGTUX			.00	0.82000		SELL ONLY
Columbia Threadneedle	Columbia Global Technology Growth Fund Institutional Class	19765P489	CMTFX			.00	0.92000		SELL ONLY
Columbia Threadneedle	Columbia Global Value Fund Class A	19766F878	IEVAX	5.75		.25	1.12000		BUY,SELL
Columbia Threadneedle	Columbia Global Value Fund Class C	19766F852	REVCX		1.00	1.00	1.87000		SELL ONLY
Columbia Threadneedle	Columbia Global Value Fund Institutional 3 Class	19766J730	CEVYX			.00	0.77000		SELL ONLY
Columbia Threadneedle	Columbia Global Value Fund Institutional Class	19766F779	CEVZX			.00	0.87000		SELL ONLY
Columbia Threadneedle	Columbia Greater China Fund Class A	19765L546	NGCAX	5.75		.25	1.64000		BUY,SELL
Columbia Threadneedle	Columbia Greater China Fund Institutional 3 Class	19767A464	CGCYX			.00	1.24000		SELL ONLY
Columbia Threadneedle	Columbia Greater China Fund Institutional Class	19765L512	LNGZX			.00	1.39000		SELL ONLY
Columbia Threadneedle	Columbia High Yield Bond Fund Class A	19766F274	INEAX	4.75		.25	1.03000		BUY,SELL
Columbia Threadneedle	Columbia High Yield Bond Fund Class C	19766F258	APECX		1.00	1.00	1.78000		SELL ONLY
Columbia Threadneedle	Columbia High Yield Bond Fund Institutional 3 Class	19766C495	CHYYX			.00	0.66000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia High Yield Bond Fund Institutional Class	19766F175	CHYZX			.00	0.78000		SELL ONLY
Columbia Threadneedle	Columbia High Yield Municipal Fund Class C	19765P133	CHMCX		1.00	.80	1.48000		SELL ONLY
Columbia Threadneedle	Columbia High Yield Municipal Fund Institutional 3 Class	19767A373	CHHYX			.00	0.60000		SELL ONLY
Columbia Threadneedle	Columbia High Yield Municipal Fund Institutional Class	19765P125	SRHMX			.00	0.68000		SELL ONLY
Columbia Threadneedle	Columbia Income Builder Fund Class A	19766F167	RBBAX	4.75		.25	0.97000		BUY,SELL
Columbia Threadneedle	Columbia Income Builder Fund Class C	19766F142	RBBCX		1.00	1.00	1.72000		SELL ONLY
Columbia Threadneedle	Columbia Income Builder Fund Institutional 3 Class	19766J425	CIBYX			.00	0.65000		SELL ONLY
Columbia Threadneedle	Columbia Income Builder Fund Institutional Class	19766F118	CBUZX			.00	0.72000		SELL ONLY
Columbia Threadneedle	Columbia Income Opportunities Fund Class A	19763T103	AIOAX	4.75		.25	1.06000		BUY,SELL
Columbia Threadneedle	Columbia Income Opportunities Fund Class C	19763T301	RIOCX		1.00	1.00	1.81000		SELL ONLY
Columbia Threadneedle	Columbia Income Opportunities Fund Institutional 3 Class	19763T806	CIOYX			.00	0.69000		SELL ONLY
Columbia Threadneedle	Columbia Income Opportunities Fund Institutional Class	19763T889	CIOZX			.00	0.81000		SELL ONLY
Columbia Threadneedle	Columbia Integrated Large Cap Growth Fund Class A	19766Q106	ILGCX	5.75		.25	1.18000		SELL ONLY
Columbia Threadneedle	Columbia Integrated Large Cap Growth Fund Institutional 3 Class	19766Q700	ILGJX			.00	0.82000		SELL ONLY
Columbia Threadneedle	Columbia Integrated Large Cap Growth Fund Institutional Class	19766Q502	ILGGX			.00	0.93000		SELL ONLY
Columbia Threadneedle	Columbia Integrated Large Cap Value Fund Class A	19766Q809	ILVBX	5.75		.25	1.23000		SELL ONLY
Columbia Threadneedle	Columbia Integrated Large Cap Value Fund Institutional Class	19766Q858	ILVFX			.00	0.98000		SELL ONLY
Columbia Threadneedle	Columbia Integrated Small Cap Growth Fund Class A	19766Q742	ISGDY	5.75		.25	1.59000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Integrated Small Cap Growth Fund Institutional Class	19766Q692	ISGNX			.00	1.34000		SELL ONLY
Columbia Threadneedle	Columbia Intermediate Duration Municipal Bond Fund Class C	19765L660	LITCX		1.00	.80	1.41000		SELL ONLY
Columbia Threadneedle	Columbia Intermediate Duration Municipal Bond Fund Institutional 3 Class	19767A555	CIMYX			.00	0.50000		SELL ONLY
Columbia Threadneedle	Columbia Intermediate Duration Municipal Bond Fund Institutional Class	19765L637	SETMX			.00	0.61000		SELL ONLY
Columbia Threadneedle	Columbia International Dividend Income Fund Class A	19765P216	CSVAX	5.75		.25	1.30000		BUY,SELL
Columbia Threadneedle	Columbia International Dividend Income Fund Institutional 3 Class	19765Y324	CLSYX			.00	0.84000		SELL ONLY
Columbia Threadneedle	Columbia International Dividend Income Fund Institutional Class	19765P166	CSVFX			.00	1.05000		SELL ONLY
Columbia Threadneedle	Columbia Intrinsic Value Fund Class A	19763P390	INDZX	5.75		.25	0.97000		BUY,SELL
Columbia Threadneedle	Columbia Intrinsic Value Fund Class C	19763P374	ADECX		1.00	1.00	1.72000		SELL ONLY
Columbia Threadneedle	Columbia Intrinsic Value Fund Institutional 3 Class	19766C586	CDEYX			.00	0.65000		SELL ONLY
Columbia Threadneedle	Columbia Intrinsic Value Fund Institutional Class	19763P291	CDVZX			.00	0.72000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Enhanced Core Fund Class A	19765H354	NMIAX			.25	1.21000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Enhanced Core Fund Institutional 3 Class	19765M221	CECYX			.00	0.81000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Enhanced Core Fund Institutional Class	19765H347	NMIMX			.00	0.96000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Growth Opportunity Fund Class A	19765H263	NFEAX	5.75		.25	1.11000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Growth Opportunity Fund Institutional 3 Class	19766P744	CLRYX			.00	0.76000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Growth Opportunity Fund Institutional Class	19765H230	NFEPX			.00	0.86000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Large Cap Index Fund Class A	19765H339	NEIAX			.25	0.45000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Index Fund Institutional 3 Class	19766P736	CLPYX			.00	0.20000		SELL ONLY
Columbia Threadneedle	Columbia Large Cap Index Fund Institutional Class	19765H321	NINDX			.00	0.20000		SELL ONLY
Columbia Threadneedle	Columbia Massachusetts Intermediate Municipal Bond Fund Institutional 3 Class	19767A548	CMMYX			.00	0.61000		SELL ONLY
Columbia Threadneedle	Columbia Massachusetts Intermediate Municipal Bond Fund Institutional Class	19765N872	SEMAX			.00	0.70000		SELL ONLY
Columbia Threadneedle	Columbia Mid Cap Index Fund Class A	19765J509	NTIAX			.25	0.58000		SELL ONLY
Columbia Threadneedle	Columbia Mid Cap Index Fund Institutional 3 Class	19766P728	CMDYX			.00	0.23000		SELL ONLY
Columbia Threadneedle	Columbia Mid Cap Index Fund Institutional Class	19765J608	NMPAX			.00	0.33000		SELL ONLY
Columbia Threadneedle	Columbia Minnesota Tax-Exempt Fund Class C	19763T160	RMTCX		1.00	1.00	1.56000		SELL ONLY
Columbia Threadneedle	Columbia Minnesota Tax-Exempt Fund Institutional 3 Class	19766J391	CMNYX			.00	0.51000		SELL ONLY
Columbia Threadneedle	Columbia Minnesota Tax-Exempt Fund Institutional Class	19763T152	CMNZX			.00	0.56000		SELL ONLY
Columbia Threadneedle	Columbia Mortgage Opportunities Fund Class A	19764F813	CLMAX	3.00		.25	1.08000		SELL ONLY
Columbia Threadneedle	Columbia Mortgage Opportunities Fund Class C	19764F797	CLMCX		1.00	1.00	1.83000		SELL ONLY
Columbia Threadneedle	Columbia Mortgage Opportunities Fund Institutional 3 Class	19766J383	CMOYX			.00	0.73000		SELL ONLY
Columbia Threadneedle	Columbia Mortgage Opportunities Fund Institutional Class	19764F755	CLMZX			.00	0.83000		SELL ONLY
Columbia Threadneedle	Columbia Multi Strategy Alternatives Fund Class A	19766M311	CLAAX	5.75		.25	1.47000		SELL ONLY
Columbia Threadneedle	Columbia Multi Strategy Alternatives Fund Class C	19766M295	CLABX		1.00	1.00	2.22000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Multi Strategy Alternatives Fund Class Inst	19766M220	CLAZX			.00	1.22000		SELL ONLY
Columbia Threadneedle	Columbia New York Intermediate Municipal Bond Fund Institutional 3 Class	19767A530	CNYYX			.00	0.58000		SELL ONLY
Columbia Threadneedle	Columbia New York Intermediate Municipal Bond Fund Institutional Class	19765N740	GNYTX			.00	0.67000		SELL ONLY
Columbia Threadneedle	Columbia Oregon Intermediate Municipal Bond Fund Institutional 3 Class	19767A522	CORYX			.00	0.52000		SELL ONLY
Columbia Threadneedle	Columbia Oregon Intermediate Municipal Bond Fund Institutional Class	19765P372	CMBFX			.00	0.60000		SELL ONLY
Columbia Threadneedle	Columbia Overseas Core Fund Class A	19766J318	COSAX	5.75		.25	1.27000		SELL ONLY
Columbia Threadneedle	Columbia Overseas Core Fund Institutional 3 Class	19766J250	COSOX			.00	0.89000		SELL ONLY
Columbia Threadneedle	Columbia Overseas Core Fund Institutional Class	19766J276	COSNX			.00	1.02000		SELL ONLY
Columbia Threadneedle	Columbia Overseas Value Fund Class A	19765M338	COAVX	5.75		.25	1.19000		BUY,SELL
Columbia Threadneedle	Columbia Overseas Value Fund Class C	19765M320	COCVX		1.00	1.00	1.94000		SELL ONLY
Columbia Threadneedle	Columbia Overseas Value Fund Institutional 3 Class	19766P868	COSYX			.00	0.81000		SELL ONLY
Columbia Threadneedle	Columbia Overseas Value Fund Institutional Class	19765M296	COSZX			.00	0.94000		SELL ONLY
Columbia Threadneedle	Columbia Pyrford International Stock Fund Class A	19766Q825	PISDX	5.75		.25	1.30000		SELL ONLY
Columbia Threadneedle	Columbia Pyrford International Stock Fund Institutional 3 Class	19766Q759	PISQX			.00	0.94000		SELL ONLY
Columbia Threadneedle	Columbia Pyrford International Stock Fund Institutional Class	19766Q775	PISLX			.00	1.05000		SELL ONLY
Columbia Threadneedle	Columbia Quality Income Fund Class A	19766J102	AUGAX	3.00		.25	0.95000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Quality Income Fund Class C	19766J300	AUGCX		1.00	1.00	1.70000		SELL ONLY
Columbia Threadneedle	Columbia Quality Income Fund Institutional 3 Class	19766J581	CUGYX			.00	0.56000		SELL ONLY
Columbia Threadneedle	Columbia Quality Income Fund Institutional Class	19766J607	CUGZX			.00	0.70000		SELL ONLY
Columbia Threadneedle	Columbia Real Estate Equity Fund Class A	19765P588	CREAX	5.75		.25	1.25000		SELL ONLY
Columbia Threadneedle	Columbia Real Estate Equity Fund Institutional 3 Class	19767A423	CREYX			.00	0.86000		SELL ONLY
Columbia Threadneedle	Columbia Real Estate Equity Fund Institutional Class	19765P547	CREEX			.00	1.00000		SELL ONLY
Columbia Threadneedle	Columbia Select Corporate Income Fund Class A	19765N542	LIAX	4.75		.25	0.93000		BUY,SELL
Columbia Threadneedle	Columbia Select Corporate Income Fund Institutional 3 Class	19766M873	CRIYX			.00	0.52000		SELL ONLY
Columbia Threadneedle	Columbia Select Corporate Income Fund Institutional Class	19765N518	SRINX			.00	0.68000		SELL ONLY
Columbia Threadneedle	Columbia Select Global Equity Fund Class A	19763T780	IGLGX	5.75		.25	1.24000		BUY,SELL
Columbia Threadneedle	Columbia Select Global Equity Fund Class C	19763T764	RGCEX		1.00	1.00	1.99000		SELL ONLY
Columbia Threadneedle	Columbia Select Global Equity Fund Institutional 3 Class	19766J375	CSEYX			.00	0.91000		SELL ONLY
Columbia Threadneedle	Columbia Select Global Equity Fund Institutional Class	19763T194	CGEZX			.00	0.99000		SELL ONLY
Columbia Threadneedle	Columbia Select Large Cap Growth Fund Class A	19765Y712	ELGAX	5.75		.25	1.16000		BUY,SELL
Columbia Threadneedle	Columbia Select Large Cap Growth Fund Institutional 3 Class	19766M659	CCWRX			.00	0.78000		SELL ONLY
Columbia Threadneedle	Columbia Select Large Cap Growth Fund Institutional Class	19765Y688	UMLGX			.00	0.91000		SELL ONLY
Columbia Threadneedle	Columbia Select Large Cap Value Fund Class A	19766H619	SLVAX	5.75		.25	1.07000		BUY,SELL
Columbia Threadneedle	Columbia Select Large Cap Value Fund Class C	19766H585	SVLCX		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
Columbia Threadneedle	Columbia Select Large Cap Value Fund Institutional 3 Class	19766J615	CSRYX			.00	0.68000		SELL ONLY
Columbia Threadneedle	Columbia Select Large Cap Value Fund Institutional Class	19766H528	CSVZX			.00	0.82000		SELL ONLY
Columbia Threadneedle	Columbia Select Mid Cap Growth Fund Class A	19765P299	CBSAX	5.75		.25	1.15000		BUY,SELL
Columbia Threadneedle	Columbia Select Mid Cap Growth Fund Class C	19765P273	CMCCX		1.00	1.00	1.90000		SELL ONLY
Columbia Threadneedle	Columbia Select Mid Cap Growth Fund Institutional 3 Class	19765Y357	CMGYX			.00	0.80000		SELL ONLY
Columbia Threadneedle	Columbia Select Mid Cap Growth Fund Institutional Class	19765P232	CLSPX			.00	0.90000		SELL ONLY
Columbia Threadneedle	Columbia Select Mid Cap Value Fund Class A	19765J863	CMUAX	5.75		.25	1.13000		BUY,SELL
Columbia Threadneedle	Columbia Select Mid Cap Value Fund Class C	19765J848	CMUCX		1.00	1.00	1.88000		SELL ONLY
Columbia Threadneedle	Columbia Select Mid Cap Value Fund Institutional 3 Class	19765M239	CMVYX			.00	0.75000		SELL ONLY
Columbia Threadneedle	Columbia Select Mid Cap Value Fund Institutional Class	19765J830	NAMAX			.00	0.88000		SELL ONLY
Columbia Threadneedle	Columbia Select Short Corporate Income Fund Class A	19763T459	ALDAX	3.00	1.00	.25	0.84000		BUY,SELL
Columbia Threadneedle	Columbia Select Short Corporate Income Fund Class C	19763T434	RDCLX		1.00	1.00	1.59000		SELL ONLY
Columbia Threadneedle	Columbia Select Short Corporate Income Fund Institutional 3 Class	19766C271	CLDYX			.00	0.48000		SELL ONLY
Columbia Threadneedle	Columbia Select Short Corporate Income Fund Institutional Class	19763T384	CLDZX			.00	0.59000		SELL ONLY
Columbia Threadneedle	Columbia Select Small Cap Value Fund Class A	19766H510	SSCVX	5.75		.25	1.29000		BUY,SELL
Columbia Threadneedle	Columbia Select Small Cap Value Fund Institutional 3 Class	19766J599	CSSYX			.00	0.92000		SELL ONLY
Columbia Threadneedle	Columbia Select Small Cap Value Fund Institutional Class	19766H437	CSSZX			.00	1.04000		SELL ONLY
Columbia Threadneedle	Columbia Seligman Global Technology Fund Class A	19766H320	SHGTX	5.75		.25	1.29000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Seligman Global Technology Fund Class C	19766H296	SHTCX		1.00	1.00	2.04000		SELL ONLY
Columbia Threadneedle	Columbia Seligman Global Technology Fund Institutional 3 Class	19766J359	CGTYX			.00	0.94000		SELL ONLY
Columbia Threadneedle	Columbia Seligman Global Technology Fund Institutional Class	19766H247	CSGZX			.00	1.04000		SELL ONLY
Columbia Threadneedle	Columbia Seligman Technology and Information Fund Class A	19766H429	SLMCX	5.75		.25	1.16000		BUY,SELL
Columbia Threadneedle	Columbia Seligman Technology and Information Fund Class C	19766H395	SCICX		1.00	1.00	1.91000		SELL ONLY
Columbia Threadneedle	Columbia Seligman Technology and Information Fund Institutional 3 Class	19766J367	CCOYX			.00	0.82000		SELL ONLY
Columbia Threadneedle	Columbia Seligman Technology and Information Fund Institutional Class	19766H338	CCIZX			.00	0.91000		SELL ONLY
Columbia Threadneedle	Columbia Short Duration Municipal Bond Fund Institutional 3 Class	19766P686	CSMYX			.00	0.51000		SELL ONLY
Columbia Threadneedle	Columbia Short Duration Municipal Bond Fund Institutional Class	19765J327	NSMIX			.00	0.59000		SELL ONLY
Columbia Threadneedle	Columbia Short Term Bond Fund Class A	19765H396	NSTRX	1.00		.25	0.81000		BUY,SELL
Columbia Threadneedle	Columbia Short Term Bond Fund Class C	19765H370	NSTIX		1.00	.80	1.36000		SELL ONLY
Columbia Threadneedle	Columbia Short Term Bond Fund Institutional 3 Class	19765M213	CSBYX			.00	0.48000		SELL ONLY
Columbia Threadneedle	Columbia Short Term Bond Fund Institutional Class	19765H362	NSTMX			.00	0.56000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Growth Fund Class A	19765P638	CGOAX	5.75		.25	1.25000		BUY,SELL
Columbia Threadneedle	Columbia Small Cap Growth Fund Class C	19765P612	CGOCX		1.00	1.00	2.00000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Growth Fund Institutional 3 Class	19765Y340	CSGYX			.00	0.85000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Growth Fund Institutional Class	19765P596	CMSCX			.00	1.00000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Index Fund Class A	19765J822	NMSAX			.25	0.45000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Columbia Threadneedle	Columbia Small Cap Index Fund Institutional 3 Class	19766P678	CSPYX			.00	0.20000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Index Fund Institutional Class	19765J814	NMSCX			.00	0.20000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Value and Inflection Fund Class A	19765J798	COVAX	5.75		.25	1.36000		BUY,SELL
Columbia Threadneedle	Columbia Small Cap Value and Inflection Fund Institutional 3 Class	19766B240	CRRYX			.00	0.89000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Value and Inflection Fund Institutional Class	19765J764	NSVAX			.00	1.11000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Value Discovery Fund Class A	19765N591	CSMIX	5.75		.25	1.23000		BUY,SELL
Columbia Threadneedle	Columbia Small Cap Value Discovery Fund Class C	19765N575	CSSCX		1.00	1.00	1.98000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Value Discovery Fund Institutional 3 Class	19765Y332	CSVYX			.00	0.84000		SELL ONLY
Columbia Threadneedle	Columbia Small Cap Value Discovery Fund Institutional Class	19765N567	CSCZX			.00	0.98000		SELL ONLY
Columbia Threadneedle	Columbia Strategic California Municipal Income Fund Class C	19765L306	CCAOX		1.00	.70	1.29000		SELL ONLY
Columbia Threadneedle	Columbia Strategic California Municipal Income Fund Institutional 3 Class	19767A514	CCXYX			.00	0.53000		SELL ONLY
Columbia Threadneedle	Columbia Strategic California Municipal Income Fund Institutional Class	19765L611	CAZAX			.00	0.59000		SELL ONLY
Columbia Threadneedle	Columbia Strategic Income Fund Class A	19765L801	COSIX	4.75		.25	0.94000		BUY,SELL
Columbia Threadneedle	Columbia Strategic Income Fund Class C	19765L876	CLSCX		1.00	1.00	1.69000		SELL ONLY
Columbia Threadneedle	Columbia Strategic Income Fund Institutional 3 Class	19766M345	CPHUX			.00	0.60000		SELL ONLY
Columbia Threadneedle	Columbia Strategic Income Fund Institutional Class	19765L694	LSIZX			.00	0.69000		SELL ONLY
Columbia Threadneedle	Columbia Strategic Municipal Income Fund Class C	19763P598	RTCEX		1.00	1.00	1.56000		SELL ONLY
Columbia Threadneedle	Columbia Strategic Municipal Income Fund Institutional 3 Class	19766J342	CATYX			.00	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
Columbia Threadneedle	Columbia Strategic Municipal Income Fund Institutional Class	19763P580	CATZX			.00	0.56000		SELL ONLY
Columbia Threadneedle	Columbia Strategic New York Municipal Income Fund Class C	19765L173	CNYCX		1.00	.70	1.35000		SELL ONLY
Columbia Threadneedle	Columbia Strategic New York Municipal Income Fund Institutional 3 Class	19767A449	CNTYX			.00	0.58000		SELL ONLY
Columbia Threadneedle	Columbia Strategic New York Municipal Income Fund Institutional Class	19766D295	CNYZX			.00	0.65000		SELL ONLY
Columbia Threadneedle	Columbia Thermostat Fund Class A	197199755	CTFAX	5.75		.25	0.83000		BUY,SELL
Columbia Threadneedle	Columbia Thermostat Fund Class C	197199730	CTFDX		1.00	1.00	1.58000		SELL ONLY
Columbia Threadneedle	Columbia Thermostat Fund Institutional 3 Class	197199326	CYYYX			.00	0.50000		SELL ONLY
Columbia Threadneedle	Columbia Thermostat Fund Institutional Class	197199722	COTZX			.00	0.58000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Bond Fund Class A	19765N492	LIBAX	3.00		.25	0.89000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Bond Fund Class C	19765N476	LIBCX		1.00	1.00	1.64000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Bond Fund Institutional 3 Class	19766M758	CTBYX			.00	0.53000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Bond Fund Institutional Class	19765N468	SRBFX			.00	0.64000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Municipal Income Fund Class C	19765L835	COLCX		1.00	.80	1.35000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Municipal Income Fund Institutional 3 Class	19767A415	CTEYX			.00	0.48000		SELL ONLY
Columbia Threadneedle	Columbia Total Return Municipal Income Fund Institutional Class	19765L629	CTEZC			.00	0.55000		SELL ONLY
Columbia Threadneedle	Columbia U.S. Treasury Index Fund Class A	19765N641	LUTAX			.15	0.55000		SELL ONLY
Columbia Threadneedle	Columbia U.S. Treasury Index Fund Institutional 3 Class	19767A381	CUTYX			.00	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
Columbia Threadneedle	Columbia U.S. Treasury Index Fund Institutional Class	19765N617	IUTIX			.00	0.40000		SELL ONLY
Columbia Threadneedle	Columbia Ultra Short Duration Municipal Bond Fund Class A	19766J235	USMBX			.15	0.54000		SELL ONLY
Columbia Threadneedle	Columbia Ultra Short Duration Municipal Bond Fund Institutional Class	19766J219	USMEX			.00	0.39000		SELL ONLY
Columbia Threadneedle	Columbia Ultra Short Term Bond Fund Institutional Class	19767X738	CUSBX			.00	0.29000		SELL ONLY
Columbia Threadneedle	Columbia Ultra Short Term Bond Fund Institutional Class3	19765E823	CMGUX			.00	0.24000		SELL ONLY
Congress	Congress Large Cap Growth Fund Institutional Class	74316J789	CMLIX				0.68000		SELL ONLY
Congress	Congress Large Cap Growth Fund Retail Class	742935216	CAMLX			.25	0.93000		SELL ONLY
Congress	Congress Mid Cap Growth Fund Institutional Class	74316J458	IMIDX				0.80000		SELL ONLY
Congress	Congress Mid Cap Growth Fund Retail Class	74316J466	CMIDX			.25	1.05000		SELL ONLY
Congress	Congress Small Cap Growth Fund Institutional Class	74316P710	CSMCX				1.06000		SELL ONLY
Congress	Congress Small Cap Growth Fund Retail Class	74316P728	CSMVX			.25	1.31000		SELL ONLY
Cromwell Funds	Cromwell CenterSquare Real Estate Fund Institutional Class	89156Y506	MRASX				1.02000		SELL ONLY
Cromwell Funds	Cromwell CenterSquare Real Estate Fund Investor Class	89156Y407	MRESX				1.09000		SELL ONLY
Cromwell Funds	Cromwell Foresight Global Infrastructure Fund Institutional Class	89156Y878	CFGIX				1.32000		SELL ONLY
Cromwell Funds	Cromwell Greenspring Mid Cap Fund Institutional Class	89156Y852	GRSPX				1.04000		SELL ONLY
Cromwell Funds	Cromwell Long Short Fund Class Institutional	89156Y308	MFLDX				2.09000		SELL ONLY
Cromwell Funds	Cromwell Long Short Fund Class Investor	89156Y100	MFADX			.25	2.34000		SELL ONLY
Cromwell Funds	Cromwell Tran Sustainable Focus Instl	89156Y704	LIMIX				1.63000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Cromwell Funds	Cromwell Tran Sustainable Focus Investor	89156Y803	LIMAX			.25	1.88000		SELL ONLY
Crossmark Steward Funds	Crossmark Steward Global Equity Income Fund Class A	860324862	SGIDX	5.75		.25	1.26000		BUY,SELL
Crossmark Steward Funds	Crossmark Steward Global Equity Income Fund Class C	860324664	SGIFX		1.00	1.00	2.02000		SELL ONLY
Crossmark Steward Funds	Crossmark Steward Global Equity Income Fund Class Institutional	860324854	SGISX				1.01000		SELL ONLY
Crossmark Steward Funds	Crossmark Steward Global Equity Income Fund Class R6	860324656	SGIGX				0.91000		SELL ONLY
Crossmark Steward Funds	Steward Covered Call Income Fund Class A	860324714	SCJAX	5.75		.25	1.38000		SELL ONLY
Crossmark Steward Funds	Steward Covered Call Income Fund Class C	860324698	SCJCX		1.00	1.00	2.18000		SELL ONLY
Crossmark Steward Funds	Steward Covered Call Income Fund Class R6	860324680	SCJKX				1.07000		SELL ONLY
Crossmark Steward Funds	Steward Covered Call Income Fund Institutional Class	860324672	SCJIX				1.20000		SELL ONLY
Crossmark Steward Funds	Steward Equity Market Neutral Fund Class A	860324458	SMNAX	5.75		.25	2.44000		SELL ONLY
Crossmark Steward Funds	Steward Equity Market Neutral Fund Institutional Class	860324433	SMNIX				2.25000		SELL ONLY
Crossmark Steward Funds	Steward Large Cap Core Fund Class A	860324425	SJCAX	5.75		.25	1.21000		BUY,SELL
Crossmark Steward Funds	Steward Large Cap Core Fund Class R6	860324490	SJCRX				0.85000		SELL ONLY
Crossmark Steward Funds	Steward Large Cap Core Fund Institutional Class	860324391	SJCIX				0.92000		SELL ONLY
Crossmark Steward Funds	Steward Large Cap Growth Fund Class A	860324383	SJGAX	5.75		.25	1.17000		BUY,SELL
Crossmark Steward Funds	Steward Large Cap Growth Fund Institutional Class	860324367	SJGIX				0.89000		SELL ONLY
Crossmark Steward Funds	Steward Large Cap Value Fund Class A	860324359	SJVAX	5.75		.25	1.27000		BUY,SELL
Crossmark Steward Funds	Steward Large Cap Value Fund Institutional Class	860324334	SJVIX				1.01000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Crossmark Steward Funds	Steward Select Bond Fund Class A	860324409	SEAKX	3.75		.25	0.96000		BUY,SELL
Crossmark Steward Funds	Steward Select Bond Fund Class Institutional	860324300	SEACX				0.70000		SELL ONLY
Crossmark Steward Funds	Steward Values Enhanced International Fund Class A	860324805	SNTKX	5.75		.25	1.03000		BUY,SELL
Crossmark Steward Funds	Steward Values Enhanced International Fund Class Institutional	860324706	SNTCX				0.77000		SELL ONLY
Crossmark Steward Funds	Steward Values Enhanced International Fund Class R6	860324631	SNTFX				0.66000		SELL ONLY
Crossmark Steward Funds	Steward Values-Focused Large Cap Enhanced Fund A	860324201	SEEKX	5.75		.25	0.86000		BUY,SELL
Crossmark Steward Funds	Steward Values-Focused Large Cap Enhanced Fund Instl	860324102	SEECX				0.61000		SELL ONLY
Crossmark Steward Funds	Steward Values-Focused Large Cap Enhanced Fund R6	860324615	SEEHX				0.51000		SELL ONLY
Crossmark Steward Funds	Steward Values-Focused Small-Mid Cap Enhanced Fund A	860324839	TRDFX	5.75		.25	0.83000		BUY,SELL
Crossmark Steward Funds	Steward Values-Focused Small-Mid Cap Enhanced Fund Instl	860324847	SCECX				0.64000		SELL ONLY
Crossmark Steward Funds	Steward Values-Focused Small-Mid Cap Enhanced Fund R6	860324565	SSMOX				0.53000		SELL ONLY
Davis Funds	Davis Balanced Fund Class A	239103880	RPFCX	4.75		.23	0.98000		BUY,SELL
Davis Funds	Davis Balanced Fund Class C	239103732	DCSCX		1.00	1.00	1.97000		SELL ONLY
Davis Funds	Davis Balanced Fund Class Y	239103773	DCSYX			.00	0.67000		SELL ONLY
Davis Funds	Davis Financial Fund Class A	239103500	RPFGX	4.75		.24	0.94000		SELL ONLY
Davis Funds	Davis Financial Fund Class C	239103740	DFFCX		1.00	1.00	1.74000		SELL ONLY
Davis Funds	Davis Financial Fund Class Y	239103815	DVFX			.00	0.71000		SELL ONLY
Davis Funds	Davis Global Fund Class A	239080872	DGFAX	4.75		.22	0.95000		BUY,SELL
Davis Funds	Davis Global Fund Class C	239080856	DGFCX		1.00	1.00	1.76000		SELL ONLY
Davis Funds	Davis Global Fund Class Y	239080849	DGFYX			.00	0.71000		SELL ONLY
Davis Funds	Davis Government Bond Fund Class A	239103708	RFBAX	4.75		.22	1.48000		SELL ONLY
Davis Funds	Davis Government Bond Fund Class C	239103757	DGVCX		1.00	1.00	2.90000		SELL ONLY
Davis Funds	Davis Government Bond Fund Class Y	239103799	DGVYX			.00	1.35000		SELL ONLY
Davis Funds	Davis International Fund Class A	239080831	DILAX	4.75		.19	1.17000		SELL ONLY
Davis Funds	Davis International Fund Class C	239080815	DILCX		1.00	1.00	1.99000		SELL ONLY
Davis Funds	Davis International Fund Class Y	239080799	DILYX			.00	0.82000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Davis Funds	Davis New York Venture Fund Class A	239080104	NYVTX	4.75		.23	0.91000		BUY,SELL
Davis Funds	Davis New York Venture Fund Class C	239080302	NYVCX		1.00	1.00	1.75000		SELL ONLY
Davis Funds	Davis New York Venture Fund Class Y	239080401	DNVYX			.00	0.67000		SELL ONLY
Davis Funds	Davis Opportunity Fund Class A	239103104	RPEAX	4.75		.22	0.93000		SELL ONLY
Davis Funds	Davis Opportunity Fund Class C	239103765	DGOCX		1.00	1.00	1.76000		SELL ONLY
Davis Funds	Davis Opportunity Fund Class Y	239103831	DGOYX			.00	0.68000		SELL ONLY
Davis Funds	Davis Real Estate Fund Class A	239103302	RPFRX	4.75		.20	1.02000		SELL ONLY
Davis Funds	Davis Real Estate Fund Class C	239103724	DRECX		1.00	1.00	2.13000		SELL ONLY
Davis Funds	Davis Real Estate Fund Class Y	239103823	DREYX			.00	0.74000		SELL ONLY
Dearborn Partners	Dearborn Partners Rising Dividend Fund Class A Shares	89834E682	DRDAX	5.00		.25	1.28000		SELL ONLY
Dearborn Partners	Dearborn Partners Rising Dividend Fund Class C Shares	89834E674	DRDCX		1.00	1.00	2.03000		SELL ONLY
Dearborn Partners	Dearborn Partners Rising Dividend Fund Class I Shares	89834E666	DRDIX				1.03000		SELL ONLY
Diamond Hill Funds	Diamond Hill Core Bond Fund Class I	25264S510	DHRIX				0.47000		SELL ONLY
Diamond Hill Funds	Diamond Hill Core Bond Fund Investor Share	25264S528	DHRAX			.25	0.76000		SELL ONLY
Diamond Hill Funds	Diamond Hill Core Plus Bond Fund Class I	25264S379	DHNIX				0.57000		SELL ONLY
Diamond Hill Funds	Diamond Hill Core Plus Bond Fund Investor	25264S387	DHNAX			.25	0.86000		SELL ONLY
Diamond Hill Funds	Diamond Hill International Fund Class I	25264S445	DHIIX				0.85000		SELL ONLY
Diamond Hill Funds	Diamond Hill International Fund Investor Share	25264S452	DHIAX			.25	1.14000		SELL ONLY
Diamond Hill Funds	Diamond Hill Large Cap Fund Class I	25264S841	DHLRX				0.67000		SELL ONLY
Diamond Hill Funds	Diamond Hill Large Cap Fund Investor Share	25264S502	DHLAX			.25	0.96000		SELL ONLY
Diamond Hill Funds	Diamond Hill Long Short Fund Class I	25264S833	DHLSX				1.46000		SELL ONLY
Diamond Hill Funds	Diamond Hill Long Short Fund Investor Share	25264S403	DIAMX			.25	1.75000		SELL ONLY
Diamond Hill Funds	Diamond Hill Mid Cap Fund Class I	25264S619	DHPIX				0.77000		SELL ONLY
Diamond Hill Funds	Diamond Hill Mid Cap Fund Investor Share	25264S635	DHPAX			.25	1.06000		SELL ONLY
Diamond Hill Funds	Diamond Hill Select Fund Class I	25264S759	DHLTX				0.87000		SELL ONLY
Diamond Hill Funds	Diamond Hill Select Fund Investor Share	25264S775	DHTAX			.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
Diamond Hill Funds	Diamond Hill Short Duration Securitized Bond Fund Class I	25264S544	DHEIX				0.53000		SELL ONLY
Diamond Hill Funds	Diamond Hill Short Duration Securitized Bond Fund Investor Share	25264S551	DHEAX			.25	0.82000		SELL ONLY
Diamond Hill Funds	Diamond Hill Small Cap Fund Class I	25264S858	DHSIX				0.97000		SELL ONLY
Diamond Hill Funds	Diamond Hill Small Cap Fund Investor Share	25264S304	DHSCX			.25	1.26000		SELL ONLY
Diamond Hill Funds	Diamond Hill Small Mid Cap Fund Class I	25264S783	DHMIX				0.92000		SELL ONLY
Diamond Hill Funds	Diamond Hill Small Mid Cap Fund Investor Share	25264S817	DHMAX			.25	1.21000		SELL ONLY
Dimensional Fund Advisors	DFA Asia Pacific Small Company Portfolio Institutional Class	233203850	DFRSX				0.51000		SELL ONLY
Dimensional Fund Advisors	DFA California Intermediate-Term Municipal Bond Portfolio Institutional Class Shares	23320G430	DCIBX				0.21000		SELL ONLY
Dimensional Fund Advisors	DFA California Municipal Real Return Portfolio Institutional Class	25239Y394	DCARX				0.26000		SELL ONLY
Dimensional Fund Advisors	DFA California Short Term Municipal Bond Portfolio Institutional Class	233203330	DFCMX				0.21000		SELL ONLY
Dimensional Fund Advisors	DFA Commodity Strategy Portfolio Institutional Class Shares	23320G463	DCMSX				0.32000		SELL ONLY
Dimensional Fund Advisors	DFA Continental Small Company Portfolio Institutional Class	233203702	DFCSX				0.50000		SELL ONLY
Dimensional Fund Advisors	DFA Diversified Fixed Income Portfolio Institutional Class	23320G166	DFXIX				0.26000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets Core Equity 2 Portfolio Institutional Class	233203421	DFCEX				0.40000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets ex China Core Equity Portfolio Institutional Class	25239Y287	DAADX				0.45000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets Portfolio Institutional Class	233203785	DFEMX				0.46000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets Small Cap Portfolio Institutional Class	233203611	DEMSX				0.81000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets Social Core Portfolio	233203363	DFESX				0.44000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Dimensional Fund Advisors	DFA Emerging Markets Sustainability Core 1 Portfolio Institutional Class	25239Y378	DESIX				0.44000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets Targeted Value Portfolio Institutional Class	23320G117	DEMGX				0.70000		SELL ONLY
Dimensional Fund Advisors	DFA Emerging Markets Value Portfolio Institutional Class	233203587	DFEVX				0.55000		SELL ONLY
Dimensional Fund Advisors	DFA Enhanced U.S. Large Company Portfolio Institutional Class	233203637	DFELX				0.18000		SELL ONLY
Dimensional Fund Advisors	DFA Five-Year Global Fixed Income Portfolio Institutional Class	233203884	DFGBX				0.21000		SELL ONLY
Dimensional Fund Advisors	DFA Global Allocation 25/75 Portfolio Institutional Class	25434D633	DGTSX				0.39000		SELL ONLY
Dimensional Fund Advisors	DFA Global Allocation 60/40 Portfolio Institutional Class	25434D658	DGSIX				0.41000		SELL ONLY
Dimensional Fund Advisors	DFA Global Core Plus Fixed Income Portfolio Institutional Class	25239Y386	DGCFX				0.24000		SELL ONLY
Dimensional Fund Advisors	DFA Global Core Plus Real Return Portfolio Institutional Class	25239Y295	DFAAX				0.30000		SELL ONLY
Dimensional Fund Advisors	DFA Global Equity Portfolio Institutional Class	25434D674	DGEIX				0.43000		SELL ONLY
Dimensional Fund Advisors	DFA Global Real Estate Securities Portfolio	23320G554	DFGEX				0.28000		SELL ONLY
Dimensional Fund Advisors	DFA Global Small Company Portfolio Institutional Class	23320G158	DGLIX				0.65000		SELL ONLY
Dimensional Fund Advisors	DFA Global Sustainability Fixed Income Portfolio Institutional Class	25239Y360	DGSFX				0.22000		SELL ONLY
Dimensional Fund Advisors	DFA Inflation-Protected Securities Portfolio Institutional Class	233203355	DIPSX				0.11000		SELL ONLY
Dimensional Fund Advisors	DFA Intermediate Government Fixed Income Portfolio Institutional Class	233203876	DFIGX				0.12000		SELL ONLY
Dimensional Fund Advisors	DFA Intermediate-Term Extended Quality Portfolio Institutional Class Shares	23320G513	DFTEX				0.21000		SELL ONLY
Dimensional Fund Advisors	DFA Intermediate-Term Municipal Bond Portfolio Institutional Class	23320G315	DFTIX				0.19000		SELL ONLY
Dimensional Fund Advisors	DFA International Core Equity 2 Portfolio Institutional Class	233203371	DFIEX				0.23000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Dimensional Fund Advisors	DFA International High Relative Profitability Portfolio Institutional Class	23320G141	DIHRX				0.30000		SELL ONLY
Dimensional Fund Advisors	DFA International Large Cap Growth Portfolio	23320G265	DILRX				0.27000		SELL ONLY
Dimensional Fund Advisors	DFA International Real Estate Securities Portfolio Institutional Class	233203348	DFITX				0.27000		SELL ONLY
Dimensional Fund Advisors	DFA International Small Cap Growth Portfolio	23320G257	DISMX				0.45000		SELL ONLY
Dimensional Fund Advisors	DFA International Small Cap Value Portfolio Institutional Class	233203736	DISVX				0.43000		SELL ONLY
Dimensional Fund Advisors	DFA International Small Company Portfolio Institutional Class	233203629	DFISX				0.39000		SELL ONLY
Dimensional Fund Advisors	DFA International Social Core Equity Portfolio Institutional Class Shares	25239Y626	DSCLX				0.27000		SELL ONLY
Dimensional Fund Advisors	DFA International Sustainability Core 1 Portfolio	233203199	DFSPX				0.24000		SELL ONLY
Dimensional Fund Advisors	DFA International Value Portfolio III	25434D708	DFVIX				0.45000		SELL ONLY
Dimensional Fund Advisors	DFA International Value Portfolio Institutional Class	25434D203	DFIVX				0.49000		SELL ONLY
Dimensional Fund Advisors	DFA International Vector Equity Portfolio Institutional Class	23320G539	DFVQX				0.29000		SELL ONLY
Dimensional Fund Advisors	DFA Investment Grade Portfolio Institutional Class Shares	23320G448	DFAPX				0.19000		SELL ONLY
Dimensional Fund Advisors	DFA Japanese Small Company Portfolio Institutional Class	233203108	DFJSX				0.50000		SELL ONLY
Dimensional Fund Advisors	DFA Large Cap International Portfolio Institutional Class	233203868	DFALX				0.17000		SELL ONLY
Dimensional Fund Advisors	DFA LTIP Portfolio Institutional Class	25239Y873	DRXIX				0.12000		SELL ONLY
Dimensional Fund Advisors	DFA MN Municipal Bond Portfolio Institutional Class	25239Y410	DMNBX				0.47000		SELL ONLY
Dimensional Fund Advisors	DFA Municipal Bond Portfolio Institutional Class	23320G232	DFMPX				0.21000		SELL ONLY
Dimensional Fund Advisors	DFA Municipal Real Return Portfolio Institutional Class	25239Y550	DMREX				0.24000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Dimensional Fund Advisors	DFA NY Municipal Bond Portfolio Institutional Class	23320G224	DNVMX				0.27000		SELL ONLY
Dimensional Fund Advisors	DFA One-Year Fixed Income Portfolio Institutional Class	233203603	DFIHX				0.13000		SELL ONLY
Dimensional Fund Advisors	DFA Oregon Municipal Bond Portfolio Institutional Class	25239Y352	DOGM X				0.36000		SELL ONLY
Dimensional Fund Advisors	DFA Real Estate Securities Portfolio Institutional Class	233203835	DFREX				0.20000		SELL ONLY
Dimensional Fund Advisors	DFA Selective State Municipal Bond Portfolio Institutional Class	25239Y345	DSSMX				0.26000		SELL ONLY
Dimensional Fund Advisors	DFA Selectively Hedged Global Equity Portfolio Institutional Class Shares	23320G331	DSHGX				0.51000		SELL ONLY
Dimensional Fund Advisors	DFA Selectively Hedged Global Fixed Income Portfolio Institutional Class	233203223	DFSHX				0.17000		SELL ONLY
Dimensional Fund Advisors	DFA Short Term Municipal Bond Portfolio Institutional Class	233203439	DFSMX				0.19000		SELL ONLY
Dimensional Fund Advisors	DFA Short-Duration Real Return Portfolio Institutional Class	25239Y576	DFAIX				0.22000		SELL ONLY
Dimensional Fund Advisors	DFA Short-Term Extended Quality Portfolio Institutional Class	23320G521	DFEQX				0.18000		SELL ONLY
Dimensional Fund Advisors	DFA Short-Term Government Portfolio Institutional Class	233203405	DFFGX				0.17000		SELL ONLY
Dimensional Fund Advisors	DFA Short-Term Selective State Municipal Bond Portfolio Institutional Class	25239Y279	DFABX				0.25000		SELL ONLY
Dimensional Fund Advisors	DFA Social Fixed Income Portfolio Institutional Class	25239Y428	DSFIX				0.22000		SELL ONLY
Dimensional Fund Advisors	DFA Targeted Credit Portfolio Institutional Class	23320G216	DTCPX				0.22000		SELL ONLY
Dimensional Fund Advisors	DFA Two Year Global Fixed Income Portfolio Institutional Class	233203645	DFGFX				0.16000		SELL ONLY
Dimensional Fund Advisors	DFA Two-Year Fixed Income Portfolio Institutional Class	25434D872	DFCFX				0.22000		SELL ONLY
Dimensional Fund Advisors	DFA Two-Year Government Portfolio Institutional Class	25434D864	DFYGX				0.17000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Core Equity 1 Portfolio Institutional Class	233203413	DFEOX				0.15000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Dimensional Fund Advisors	DFA U.S. Core Equity II Portfolio Institutional Class	233203397	DFQTX				0.19000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Large Cap Equity Portfolio Institutional Class	23320G240	DUSQX				0.14000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Large Cap Growth Portfolio Institutional Class	23320G281	DUSLX				0.18000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Large Cap Value III Portfolio	25434D807	DFUVX				0.24000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Large Cap Value Portfolio Institutional Class	233203827	DFLVX				0.33000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Large Company Portfolio	25434D823	DFUSX				0.10000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Micro Cap Portfolio Institutional Class	233203504	DFSCX				0.41000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Small Cap Growth Portfolio Institutional Class	23320G273	DSCGX				0.32000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Small Cap Portfolio Institutional Class	233203843	DFSTX				0.28000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Small Cap Value Portfolio Institutional Class	233203819	DFSVX				0.31000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Social Core Equity 2 Portfolio	233203298	DFUEX				0.22000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Sustainability Core 1 Portfolio	233203215	DFSIX				0.17000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Sustainability Targeted Value Portfolio Institutional Class	25239Y311	DAABX				0.35000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Targeted Value Portfolio Institutional Class	233203595	DFFVX				0.30000		SELL ONLY
Dimensional Fund Advisors	DFA U.S. Vector Equity Portfolio Institutional Class	233203389	DFVEX				0.24000		SELL ONLY
Dimensional Fund Advisors	DFA United Kingdom Small Company Portfolio Institutional Class	233203207	DFUKX				0.61000		SELL ONLY
Dimensional Fund Advisors	DFA US High Relative Profitability Portfolio Institutional Class	23320G133	DURPX				0.23000		SELL ONLY
Dimensional Fund Advisors	DFA World Core Equity Portfolio Institutional Class	25239Y105	DREIX				0.44000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Dimensional Fund Advisors	DFA World ex U.S. Core Equity Portfolio Institutional Class Shares	25239Y592	DFWIX				0.30000		SELL ONLY
Dimensional Fund Advisors	DFA World ex U.S. Government Fixed Income Portfolio Institutional Class Shares	23320G323	DWFIX				0.20000		SELL ONLY
Dimensional Fund Advisors	DFA World ex U.S. Targeted Value Portfolio Institutional Class Shares	25239Y618	DWUSX				0.48000		SELL ONLY
Dimensional Fund Advisors	DFA World ex U.S. Value Port Institution Class	23320G471	DFWVX				0.57000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2015 Target Date Retirement Income Fund Institutional Class	25239Y535	DRIQX				0.26000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2020 Target Date Retirement Income Fund Institutional Class	25239Y527	DRIRX				0.20000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2025 Target Date Retirement Income Fund Institutional Class	25239Y519	DRIUX				0.16000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2030 Target Date Retirement Income Fund Institutional Class	25239Y493	DRIWX				0.17000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2035 Target Date Retirement Income Fund Institutional Class	25239Y485	DRIGX				0.18000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2040 Target Date Retirement Income Fund Institutional Class	25239Y477	DRIHX				0.19000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2045 Target Date Retirement Income Fund Institutional Class	25239Y469	DRIIX				0.21000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2050 Target Date Retirement Income Fund Institutional Class	25239Y451	DRIJX				0.22000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2055 Target Date Retirement Income Fund Institutional Class	25239Y444	DRIKX				0.23000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Dimensional Fund Advisors	Dimensional 2060 Target Date Retirement Income Fund Institutional Class	25239Y436	DRILX				0.23000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2065 Target Date Retirement Income Fund Institutional Class	25239Y329	DTDRX				0.37000		SELL ONLY
Dimensional Fund Advisors	Dimensional 2070 Target Date Retirement Income Fund Institutional Class	25239Y253	DFARX				0.28000		SELL ONLY
Dimensional Fund Advisors	Dimensional Retirement Income Fund Institutional Class	23320G190	TDIFX				0.22000		SELL ONLY
Dimensional Fund Advisors	Dimensional World ex U.S. Sustainability Targeted Value Portfolio Institutional Class	25239Y261	DADIX				0.57000		SELL ONLY
Dodge & Cox	Dodge & Cox Balanced Fund Class I	256201104	DODBX				0.52000		SELL ONLY
Dodge & Cox	Dodge & Cox Emerging Markets Stock Fund	256206400	DODEX				0.95000		SELL ONLY
Dodge & Cox	Dodge & Cox Global Bond Fund Class I	256206301	DODLX				0.51000		SELL ONLY
Dodge & Cox	Dodge & Cox Global Stock Fund Class I	256206202	DODW X				0.62000		SELL ONLY
Dodge & Cox	Dodge & Cox Income Fund Class I	256210105	DODIX				0.41000		SELL ONLY
Dodge & Cox	Dodge & Cox International Stock Fund Class I	256206103	DODFX				0.62000		SELL ONLY
Dodge & Cox	Dodge & Cox Stock Fund Class I	256219106	DODGX				0.51000		SELL ONLY
Domini	Domini Impact Bond Fund Class Y	257132795	DSBYX				0.88000		SELL ONLY
Domini	Domini Impact Bond Fund Institutional Shares	257132829	DSBIX				0.72000		SELL ONLY
Domini	Domini Impact Bond Fund Investor Shares	257132209	DSBFX			.25	1.14000		SELL ONLY
Domini	Domini Impact Equity Fund Class Y Shares	257132308	DSFRX				0.94000		SELL ONLY
Domini	Domini Impact Equity Fund Institutional Shares	257132852	DIEQX				0.74000		SELL ONLY
Domini	Domini Impact Equity Fund Investor Shares	257132100	DSEFX			.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
Domini	Domini Impact International Equity Fund Class Y	257132787	DOMYX				1.05000		SELL ONLY
Domini	Domini Impact International Equity Fund Institutional Shares	257132811	DOMO X				0.97000		SELL ONLY
Domini	Domini Impact International Equity Fund Investor Shares	257132704	DOMIX			.25	1.28000		SELL ONLY
Domini	Domini Sustainable Solutions Fund Institutional Shares	257132779	LIFEX				1.51000		SELL ONLY
Domini	Domini Sustainable Solutions Fund Investor Shares	257132761	CAREX			.25	2.05000		SELL ONLY
DoubleLine	DoubleLine Core Fixed Income Fund Class I	258620301	DBLFX				0.53000		SELL ONLY
DoubleLine	DoubleLine Core Fixed Income Fund Class N	258620400	DLFNX			.25	0.78000		SELL ONLY
DoubleLine	DoubleLine Core Fixed Income Fund Class R6	258620558	DDCFX				0.48000		SELL ONLY
DoubleLine	DoubleLine Emerging Markets Fixed Income Fund Class I	258620509	DBLEX				0.93000		SELL ONLY
DoubleLine	DoubleLine Emerging Markets Fixed Income Fund Class N	258620608	DLENX			.25	1.18000		SELL ONLY
DoubleLine	DoubleLine Emerging Markets Local Currency Bond Fund Class I	258620582	DBELX				2.26000		SELL ONLY
DoubleLine	DoubleLine Emerging Markets Local Currency Bond Fund Class N	258620574	DLELX			.25	2.53000		SELL ONLY
DoubleLine	DoubleLine Flexible Income Fund Class I	258620798	DFLEX				0.76000		SELL ONLY
DoubleLine	DoubleLine Flexible Income Fund Class N	258620780	DLINX			.25	1.01000		SELL ONLY
DoubleLine	DoubleLine Flexible Income Fund Class R6	258620533	DFFLX				0.70000		SELL ONLY
DoubleLine	DoubleLine Floating Rate Fund Class I Shares	258620848	DBFRX				0.80000	1.00	SELL ONLY
DoubleLine	DoubleLine Floating Rate Fund Class N Shares	258620830	DLFRX			.25	1.05000	1.00	SELL ONLY
DoubleLine	DoubleLine Global Bond Fund Class I	258620699	DBLGX				0.64000		SELL ONLY
DoubleLine	DoubleLine Global Bond Fund Class N	258620681	DLGBX			.25	0.89000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DoubleLine	DoubleLine Long Duration Total Return Bond Fund Class I	258620749	DBLDX				0.78000		SELL ONLY
DoubleLine	DoubleLine Long Duration Total Return Bond Fund Class N	258620731	DLLDX			.25	1.02000		SELL ONLY
DoubleLine	DoubleLine Low Duration Bond Fund Class I	258620863	DBLSX				0.45000		SELL ONLY
DoubleLine	DoubleLine Low Duration Bond Fund Class N	258620855	DLSNX			.25	0.70000		SELL ONLY
DoubleLine	DoubleLine Low Duration Bond Fund Class R6	258620541	DDLDX				0.39000		SELL ONLY
DoubleLine	DoubleLine Low Duration Emerging Markets Fixed Income Fund Class I	258620772	DBLLX				0.73000		SELL ONLY
DoubleLine	DoubleLine Low Duration Emerging Markets Fixed Income Fund Class N	258620764	DELNX			.25	0.98000		SELL ONLY
DoubleLine	DoubleLine Securitized Credit Fund Class I	258620517	DBLIX				0.84000		SELL ONLY
DoubleLine	DoubleLine Securitized Credit Fund Class N	258620491	DBLNX			.25	1.10000		SELL ONLY
DoubleLine	DoubleLine Select Income Fund Class I	258620673	BILDX				0.60000		SELL ONLY
DoubleLine	DoubleLine Select Income Fund Class N	258620665	BILTX			.25	0.85000		SELL ONLY
DoubleLine	DoubleLine Shiller Enhanced CAPE? Class I	258620822	DSEEX				0.56000		SELL ONLY
DoubleLine	DoubleLine Shiller Enhanced CAPE? Class N	258620814	DSENX			.25	0.81000		SELL ONLY
DoubleLine	DoubleLine Shiller Enhanced CAPE? Class R6	258620525	DDCPX				0.50000		SELL ONLY
DoubleLine	DoubleLine Shiller Enhanced International CAPE? Class I	258620632	DSEUX				1.31000		SELL ONLY
DoubleLine	DoubleLine Shiller Enhanced International CAPE? Class N	258620624	DLEUX			.25	1.50000		SELL ONLY
DoubleLine	DoubleLine Strategic Commodity Fund Class I	258620715	DBCMX				1.18000		SELL ONLY
DoubleLine	DoubleLine Strategic Commodity Fund Class N	258620723	DLCMX			.25	1.43000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DoubleLine	DoubleLine Total Return Bond Fund Class I	258620103	DBLTX				0.50000		SELL ONLY
DoubleLine	DoubleLine Total Return Bond Fund Class N	258620202	DLTNX			.25	0.75000		SELL ONLY
DoubleLine	DoubleLine Total Return Bond Fund Class R6	258620566	DDTRX				0.43000		SELL ONLY
DWS	DWS California Tax-Free Income Fund - Class C	25158X302	KCTCX		1.00	1.00	1.69000		SELL ONLY
DWS	DWS California Tax-Free Income Fund - Class S	25158X401	SDCSX				0.73000		SELL ONLY
DWS	DWS California Tax-Free Income Fund Institutional Class	25158X815	DCLIX				0.70000		SELL ONLY
DWS	DWS Capital Growth Fund - Class A	25157M109	SDGAX	5.75		.23	0.90000		SELL ONLY
DWS	DWS Capital Growth Fund - Class C	25157M307	SDGCX		1.00	.99	1.76000		SELL ONLY
DWS	DWS Capital Growth Fund - Class Institutional	25157M760	SDGTX				0.70000		SELL ONLY
DWS	DWS Capital Growth Fund - Class S	25157M406	SCGSX				0.66000		SELL ONLY
DWS	DWS Core Equity Fund - Class A	25157M729	SUWAX	5.75		.23	0.82000		SELL ONLY
DWS	DWS Core Equity Fund - Class C	25157M661	SUWCX		1.00	.99	1.59000		SELL ONLY
DWS	DWS Core Equity Fund - Class Inst	25157M687	SUWIX				0.58000		SELL ONLY
DWS	DWS Core Equity Fund - Class S	25157M679	SCDGX				0.55000		SELL ONLY
DWS	DWS CROCI Equity Dividend Fund - Class A	25159G811	KDHAX	5.75		.24	1.02000		SELL ONLY
DWS	DWS CROCI Equity Dividend Fund - Class C	25159G746	KDHCX		1.00	.99	1.85000		SELL ONLY
DWS	DWS CROCI Equity Dividend Fund - Class Inst	25159G779	KDHIX				0.76000		SELL ONLY
DWS	DWS CROCI Equity Dividend Fund - Class S	25159G761	KDHSX				0.78000		SELL ONLY
DWS	DWS CROCI International Fund - Class A	25156G673	SUIAX	5.75		.24	1.20000		SELL ONLY
DWS	DWS CROCI International Fund - Class C	25156G699	SUICX		1.00	.99	2.03000		SELL ONLY
DWS	DWS CROCI International Fund - Class Inst	25156G731	SUIIX				0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DWS	DWS CROCI International Fund - Class S	25156G715	SCINX				0.91000		SELL ONLY
DWS	DWS CROCI U.S. Fund - Class A	25157M588	DCUAX	5.75		.24	1.00000		SELL ONLY
DWS	DWS CROCI U.S. Fund - Class C	25157M570	DCUCX		1.00	.98	1.89000		SELL ONLY
DWS	DWS CROCI U.S. Fund - Class Inst	25157M554	DCUIX				0.69000		SELL ONLY
DWS	DWS CROCI U.S. Fund - Class S	25157M547	DCUSX				0.68000		SELL ONLY
DWS	DWS Digital Horizons Fund - Class A	25159L729	COMAX	5.75		.22	1.46000		SELL ONLY
DWS	DWS Digital Horizons Fund - Class Inst	25159L687	COMZX				1.22000		SELL ONLY
DWS	DWS Digital Horizons Fund Class S	25159L331	COMSX				1.31000		SELL ONLY
DWS	DWS Emerging Markets Equity Fund - Class A	25156G103	SEKAX	5.75		.24	1.69000		SELL ONLY
DWS	DWS Emerging Markets Equity Fund - Class C	25156G301	SEKCX		1.00	1.00	2.34000		SELL ONLY
DWS	DWS Emerging Markets Equity Fund - Class Inst	25156G780	SEKIX				1.31000		SELL ONLY
DWS	DWS Emerging Markets Equity Fund - Class S	25156G400	SEMGX				1.45000		SELL ONLY
DWS	DWS Emerging Markets Fixed Income Fund - Class A	25156A502	SZEAX	4.50		.24	1.64000		SELL ONLY
DWS	DWS Emerging Markets Fixed Income Fund - Class Inst	25156A841	SZEIX				1.08000		SELL ONLY
DWS	DWS Emerging Markets Fixed Income Fund - Class S	25156A726	SCEMX				1.26000		SELL ONLY
DWS	DWS Enhanced Commodity Strategy Fund - Class A	25159L877	SKNRX	5.75		.25	1.39000		SELL ONLY
DWS	DWS Enhanced Commodity Strategy Fund - Class C	25159L851	SKCRX		1.00	1.00	2.03000		SELL ONLY
DWS	DWS Enhanced Commodity Strategy Fund - Class Inst	25159L836	SKIRX				1.02000		SELL ONLY
DWS	DWS Enhanced Commodity Strategy Fund - Class S	25159L844	SKSRX				1.13000		SELL ONLY
DWS	DWS Enhanced Core Equity Fund - Class A	25159G852	DESAX	5.75		.24	0.93000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DWS	DWS Enhanced Core Equity Fund - Class C	25159G878	DESCX		1.00	.99	1.74000		SELL ONLY
DWS	DWS Enhanced Core Equity Fund - Class Institutional	25159G704	DESGX				0.65000		SELL ONLY
DWS	DWS Enhanced Core Equity Fund - Class S	25159G886	DESSX				0.68000		SELL ONLY
DWS	DWS Equity 500 Index Fund - Class Inst	25159R106	BTIIX				0.30000		SELL ONLY
DWS	DWS Equity 500 Index Fund - Class S	25159R205	BTIEX				0.33000		SELL ONLY
DWS	DWS Equity Sector Strategy Fund - Class A	25158W783	SUPAX	5.75		.24	1.00000		SELL ONLY
DWS	DWS Equity Sector Strategy Fund - Class C	25158W817	SUPCX		1.00	1.00	1.89000		SELL ONLY
DWS	DWS Equity Sector Strategy Fund - Class S	25158W825	SPGRX				0.77000		SELL ONLY
DWS	DWS Equity Sector Strategy Fund Institutional Class	25158W767	SNPTX				0.69000		SELL ONLY
DWS	DWS Floating Rate Fund - Class A	25157W602	DFRAX	2.75		.25	1.35000		SELL ONLY
DWS	DWS Floating Rate Fund - Class C	25157W701	DFRCX		1.00	1.00	2.14000		SELL ONLY
DWS	DWS Floating Rate Fund - Class Inst	25157W800	DFRTX				1.01000		SELL ONLY
DWS	DWS Floating Rate Fund - Class S	25157W883	DFRPX				1.18000		SELL ONLY
DWS	DWS Global High Income Fund - Class A	25155T882	SGHAX	4.50		.25	0.97000		SELL ONLY
DWS	DWS Global High Income Fund - Class C	25155T700	SGHCX		1.00	1.00	1.70000		SELL ONLY
DWS	DWS Global High Income Fund - Class Inst	25155T502	MGHYX				0.69000		SELL ONLY
DWS	DWS Global High Income Fund - Class S	25155T601	SGHSX				0.77000		SELL ONLY
DWS	DWS Global Income Builder Fund - Class A	25159K820	KTRAX	5.75		.23	0.92000		SELL ONLY
DWS	DWS Global Income Builder Fund - Class C	25159K796	KTRCX		1.00	.99	1.76000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DWS	DWS Global Income Builder Fund - Class Inst	25159K770	KTRIX				0.69000		SELL ONLY
DWS	DWS Global Income Builder Fund - Class S	25159K788	KTRSX				0.73000		SELL ONLY
DWS	DWS Global Macro Fund - Class A	25156G871	DBISX	5.75		.24	1.34000		SELL ONLY
DWS	DWS Global Macro Fund - Class C	25156G806	DBICX		1.00	1.00	2.14000		SELL ONLY
DWS	DWS Global Macro Fund - Class Inst	25156G509	MGINX				0.98000		SELL ONLY
DWS	DWS Global Macro Fund - Class S	25156G608	DBIVX				1.10000		SELL ONLY
DWS	DWS Global Small Cap Fund - Class A	25156A106	KGDAX	5.75		.24	1.51000		SELL ONLY
DWS	DWS Global Small Cap Fund - Class C	25156A304	KGDCX		1.00	.99	2.38000		SELL ONLY
DWS	DWS Global Small Cap Fund - Class Inst	25156A601	KGDIX				1.16000		SELL ONLY
DWS	DWS Global Small Cap Fund - Class S	25156A403	SGSCX				1.16000		SELL ONLY
DWS	DWS GNMA Fund - Class A	25155T718	GGGX X	2.75		.23	0.86000		SELL ONLY
DWS	DWS GNMA Fund - Class C	25155T692	GCGGX		1.00	.99	1.63000		SELL ONLY
DWS	DWS GNMA Fund - Class Inst	25155T676	GIGGX				0.60000		SELL ONLY
DWS	DWS GNMA Fund - Class S	25155T684	SGINX				0.63000		SELL ONLY
DWS	DWS Health and Wellness Fund - Class A	25159L620	SUHAX	5.75		.24	1.34000		SELL ONLY
DWS	DWS Health and Wellness Fund - Class C	25159L596	SUHCX		1.00	1.00	2.16000		SELL ONLY
DWS	DWS Health and Wellness Fund - Class Inst	25159L570	SUHIX				1.03000		SELL ONLY
DWS	DWS Health and Wellness Fund - Class S	25159L588	SCHLX				1.05000		SELL ONLY
DWS	DWS High Income Fund - Class A	25155T668	KHYAX	4.50		.23	0.98000		SELL ONLY
DWS	DWS High Income Fund - Class C	25155T643	KHYCX		1.00	1.00	1.79000		SELL ONLY
DWS	DWS High Income Fund - Class Inst	25155T635	KHYIX				0.74000		SELL ONLY
DWS	DWS High Income Fund - Class S	25155T106	KHYSX				0.76000		SELL ONLY
DWS	DWS Intermediate Tax-Free Fund - Class C	25159H306	SZMCX		1.00	1.00	1.58000		SELL ONLY
DWS	DWS Intermediate Tax-Free Fund - Class Inst	25159H504	SZMIX				0.55000		SELL ONLY
DWS	DWS Intermediate Tax-Free Fund - Class S	25159H405	SCMTX				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
DWS	DWS International Opportunities Fund - Class A	25156A775	SGQAX	5.75		.24	1.21000		BUY,SELL
DWS	DWS International Opportunities Fund - Class C	25156A817	SGQCX		1.00	.98	2.22000		SELL ONLY
DWS	DWS International Opportunities Fund - Class Inst	25156A700	SGQIX				0.92000		SELL ONLY
DWS	DWS International Opportunities Fund - Class S	25156A833	SCOBX				0.93000		SELL ONLY
DWS	DWS Large Cap Focus Growth Fund - Class A	25157M695	SGGAX	5.75		.24	1.15000		SELL ONLY
DWS	DWS Large Cap Focus Growth Fund - Class C	25157M737	SGGCX		1.00	1.00	1.92000		SELL ONLY
DWS	DWS Large Cap Focus Growth Fund - Class Inst	25157M752	SGGIX				0.90000		SELL ONLY
DWS	DWS Large Cap Focus Growth Fund - Class S	25157M745	SCQGX				0.87000		SELL ONLY
DWS	DWS Latin America Equity Fund - Class A	25156G756	SLANX	5.75		.24	1.62000		SELL ONLY
DWS	DWS Latin America Equity Fund - Class C	25156G772	SLAPX		1.00	.99	2.35000		SELL ONLY
DWS	DWS Latin America Equity Fund - Class Inst	25156G574	SLARX				1.33000		SELL ONLY
DWS	DWS Latin America Equity Fund - Class S	25156G798	SLAFX				1.33000		SELL ONLY
DWS	DWS Managed Municipal Bond Fund - Class C	25158T822	SMLCX		1.00	1.00	1.61000		SELL ONLY
DWS	DWS Managed Municipal Bond Fund - Class Inst	25158T855	SMLIX				0.60000		SELL ONLY
DWS	DWS Managed Municipal Bond Fund - Class S	25158T848	SCMBX				0.65000		SELL ONLY
DWS	DWS Massachusetts Tax Free Fund - Class A	25158X880	SQMAX	2.75		.25	0.96000		SELL ONLY
DWS	DWS Massachusetts Tax Free Fund - Class C	25158X864	SQMCX		1.00	1.00	1.77000		SELL ONLY
DWS	DWS Massachusetts Tax Free Fund - Class S	25158X856	SCMAX				0.77000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DWS	DWS Massachusetts Tax-Free Fund Institutional Class	25158X781	DMAIX				0.75000		SELL ONLY
DWS	DWS Multi-Asset Conservative Allocation Fund - Class A	25158W106	SPDAX	5.75		.24	1.12000		SELL ONLY
DWS	DWS Multi-Asset Conservative Allocation Fund - Class C	25158W304	SPDCX		1.00	1.00	1.97000		SELL ONLY
DWS	DWS Multi-Asset Conservative Allocation Fund - Class S	25158W403	SPBAX				0.86000		SELL ONLY
DWS	DWS Multi-Asset Moderate Allocation Fund - Class A	25158W833	PLUSX	5.75		.24	1.62000		SELL ONLY
DWS	DWS Multi-Asset Moderate Allocation Fund - Class C	25158W866	PLSCX		1.00	1.00	2.49000		SELL ONLY
DWS	DWS Multi-Asset Moderate Allocation Fund - Class S	25158W874	PPLSX				1.35000		SELL ONLY
DWS	DWS New York Tax-Free Income Fund - Class A	25158X500	KNTAX	2.75		.24	1.05000		SELL ONLY
DWS	DWS New York Tax-Free Income Fund - Class C	25158X708	KNTCX		1.00	1.00	1.86000		SELL ONLY
DWS	DWS New York Tax-Free Income Fund - Class S	25158X807	SNWYX				0.83000		SELL ONLY
DWS	DWS New York Tax-Free Income Fund Institutional Class	25158X799	DNTIX				0.84000		SELL ONLY
DWS	DWS RREEF Global Infrastructure Fund - Class A	25156A874	TOLLX	5.75		.25	1.40000		BUY,SELL
DWS	DWS RREEF Global Infrastructure Fund - Class C	25156A866	TOLCX		1.00	1.00	2.17000		SELL ONLY
DWS	DWS RREEF Global Infrastructure Fund - Class Inst	25156A858	TOLIX				1.13000		SELL ONLY
DWS	DWS RREEF Global Infrastructure Fund - Class S	25156A809	TOLSX				1.21000		SELL ONLY
DWS	DWS RREEF Real Assets Fund - Class A	25159K879	AAAAX	5.75		.25	1.28000		SELL ONLY
DWS	DWS RREEF Real Assets Fund - Class C	25159K887	AAAPX		1.00	1.00	2.01000		SELL ONLY
DWS	DWS RREEF Real Assets Fund - Class Inst	25159K705	AAAZX				1.00000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DWS	DWS RREEF Real Assets Fund - Class S	25159K804	AAASX				1.05000		SELL ONLY
DWS	DWS RREEF Real Estate Securities Fund - Class A	25159L505	RRRAX	5.75		.25	1.00000		SELL ONLY
DWS	DWS RREEF Real Estate Securities Fund - Class C	25159L703	RRRCX		1.00	1.00	1.73000		SELL ONLY
DWS	DWS RREEF Real Estate Securities Fund - Class Instl	25159L737	RRRRX				0.63000		SELL ONLY
DWS	DWS RREEF Real Estate Securities Fund - Class S	25159L885	RRREX				0.76000		SELL ONLY
DWS	DWS S&P 500 Index Fund - Class A	25159R700	SXPAX	4.50		.24	0.55000		BUY,SELL
DWS	DWS S&P 500 Index Fund - Class C	25159R882	SXPCX		1.00	1.00	1.26000		SELL ONLY
DWS	DWS S&P 500 Index Fund - Class S	25159R874	SCPIX				0.29000		SELL ONLY
DWS	DWS Science and Technology Fund - Class A	25159L562	KTCAX	5.75		.22	0.88000		SELL ONLY
DWS	DWS Science and Technology Fund - Class C	25159L547	KTCCX		1.00	.98	1.75000		SELL ONLY
DWS	DWS Science and Technology Fund - Class Inst	25159L521	KTCIX				0.68000		SELL ONLY
DWS	DWS Science and Technology Fund - Class S	25159L539	KTCSX				0.68000		SELL ONLY
DWS	DWS Short Duration Fund - Class A	25155T627	PPIAX	2.25		.25	0.87000		SELL ONLY
DWS	DWS Short Duration Fund - Class C	25155T593	PPLCX		1.00	1.00	1.62000		SELL ONLY
DWS	DWS Short Duration Fund - Class Inst	25155T577	PPILX				0.60000		SELL ONLY
DWS	DWS Short Duration Fund - Class S	25155T585	DBPIX				0.67000		SELL ONLY
DWS	DWS Short Term Municipal Bond Fund - Class A	25158T863	SRMAX	2.25		.25	0.87000		SELL ONLY
DWS	DWS Short Term Municipal Bond Fund - Class C	25158T889	SRMCX		1.00	1.00	1.60000		SELL ONLY
DWS	DWS Short Term Municipal Bond Fund - Class Inst	25158T830	MGSM X				0.61000		SELL ONLY
DWS	DWS Short Term Municipal Bond Fund - Class S	25158T806	SRMSX				0.63000		SELL ONLY
DWS	DWS Small Cap Core Fund - Class A	25157M778	SZCAX	5.75		.24	1.17000		SELL ONLY
DWS	DWS Small Cap Core Fund - Class C	25157M794	SZCCX		1.00	.99	1.96000		SELL ONLY
DWS	DWS Small Cap Core Fund - Class Inst	25157M521	SZCIX				0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
DWS	DWS Small Cap Core Fund - Class S	25157M810	SSLCX				0.92000		SELL ONLY
DWS	DWS Small Cap Growth Fund - Class A	25157M885	SSDAX	5.75		.23	1.26000		SELL ONLY
DWS	DWS Small Cap Growth Fund - Class C	25157M703	SSDCX		1.00	.99	2.20000		SELL ONLY
DWS	DWS Small Cap Growth Fund - Class Inst	25157M505	SSDIX				0.98000		SELL ONLY
DWS	DWS Small Cap Growth Fund - Class S	25157M604	SSDSX				1.00000		SELL ONLY
DWS	DWS Strategic High Yield Tax-Free Fund - Class C	25158T301	NOTCX		1.00	1.00	1.73000		SELL ONLY
DWS	DWS Strategic High Yield Tax-Free Fund - Class Inst	25158T509	NOTIX				0.76000		SELL ONLY
DWS	DWS Strategic High Yield Tax-Free Fund - Class S	25158T400	SHYTX				0.74000		SELL ONLY
DWS	DWS Total Return Bond Fund - Class A	25157W107	SZIAX	2.75		.24	0.99000		SELL ONLY
DWS	DWS Total Return Bond Fund - Class C	25157W305	SZICX		1.00	.98	1.79000		SELL ONLY
DWS	DWS Total Return Bond Fund - Class Inst	25157W503	SZIIX				0.73000		SELL ONLY
DWS	DWS Total Return Bond Fund - Class S	25157W404	SCSBX				0.74000		SELL ONLY
DWS Americas	DWS RREEF Global Real Estate Securities Fund - Class A	25159L109	RRGAX	5.75		.25	1.39000		SELL ONLY
DWS Americas	DWS RREEF Global Real Estate Securities Fund - Class C	25159L208	RRGCX		1.00	1.00	2.11000		SELL ONLY
DWS Americas	DWS RREEF Global Real Estate Securities Fund - Class Inst	25159L406	RRGIX				1.03000		SELL ONLY
DWS Americas	DWS RREEF Global Real Estate Securities Fund - Class S	25159L307	RRGTX				1.18000		SELL ONLY