Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6047(e), 6057(b), and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2011

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2011 or fiscal plan year beginning 01/01/2011 and ending 12/31/2011

A This return/report is for:
- [ ] a multiemployer plan;
- [ ] a multiple-employer plan; or
- [X] a single-employer plan;
- [ ] a DFE (specify) ____

B This return/report is:
- [ ] the first return/report;
- [ ] the final return/report;
- [ ] an amended return/report;
- [ ] a short plan year return/report (less than 12 months).

C If the plan is a collectively-bargained plan, check here. . . . . ▶ [ ]

D Check box if filing under:
- [X] Form 5558;
- [ ] automatic extension;
- [ ] the DFVC program;
- [ ] special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
SARGENT AND LUNDY LLC SAVINGS INVESTMENT PLAN

1b Three-digit plan number (PN) ▶ 003

1c Effective date of plan 01/01/1981

2a Plan sponsor's name and address, including room or suite number (Employer, if for single-employer plan)

SARGENT AND LUNDY, L.L.C.

55 EAST MONROE STREET
CHICAGO, IL 60603

55 EAST MONROE STREET
CHICAGO, IL 60603

2b Employer Identification Number (EIN)
36-1729848

2c Sponsor's telephone number
312-269-2130

2d Business code (see instructions)
541330

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	07/30/2012	KATHLEEN DAVIS
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	07/30/2012	MICHAEL E HELMINSKI
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address (if same as plan sponsor, enter "Same")
SARGENT AND LUNDY, L.L.C.

55 EAST MONROE STREET
CHICAGO, IL 60603

3b Administrator's EIN
36-1729848

3c Administrator's telephone number
312-269-2130

4 If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report:

a Sponsor's name

4b EIN

4c PN

5	Total number of participants at the beginning of the plan year	**5**	3816
6	Number of participants as of the end of the plan year (welfare plans complete only lines **6a, 6b, 6c,** and **6d**).		
a	Active participants	**6a**	2476
b	Retired or separated participants receiving benefits	**6b**	73
c	Other retired or separated participants entitled to future benefits	**6c**	1382
d	Subtotal. Add lines **6a**, **6b**, and **6c**	**6d**	3931
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits	**6e**	3
f	Total. Add lines **6d** and **6e**	**6f**	3934
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	3796
h	Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	1
7	Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions:
2E 2F 2G 2J 2K 2S 2T 2R

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:

9a Plan funding arrangement (check all that apply)

(1)		Insurance
(2)		Code section 412(e)(3) insurance contracts
(3)	X	Trust
(4)		General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

(1)		Insurance
(2)		Code section 412(e)(3) insurance contracts
(3)	X	Trust
(4)		General assets of the sponsor

10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

(1)	X	**R** (Retirement Plan Information)
(2)		**MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
(3)		**SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

(1)	X	**H** (Financial Information)
(2)		**I** (Financial Information – Small Plan)
(3)		**A** (Insurance Information)
(4)	X	**C** (Service Provider Information)
(5)	X	**D** (DFE/Participating Plan Information)
(6)		**G** (Financial Transaction Schedules)

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2011** **This Form is Open to Public Inspection.**

For calendar plan year 2011 or fiscal plan year beginning 01/01/2011 and ending 12/31/2011

A Name of plan
SARGENT AND LUNDY LLC SAVINGS INVESTMENT PLAN

B Three-digit plan number (PN) ▶ 003

C Plan sponsor's name as shown on line 2a of Form 5500
SARGENT AND LUNDY, L.L.C.

D Employer Identification Number (EIN)
36-1729848

Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . [X] Yes [ ] No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Enter name and EIN or address of person who provided you disclosure on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

FINANCIAL ENGINES

77-0473565

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	236523	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
64 37 65 71 60	RECORDKEEPER	117318	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] No [ ]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ABDN GLBL FX INC IS - CITI FUND SER 31-1249295	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ABDN US EQUITY II A - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.45%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AF WASH MUTUAL R5 - AMERICAN FUNDS 95-2566717	0.05%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER CAP APPREC I - BOSTON FINANCI 330 W. 9TH STREET KANSAS CITY, MO 66160	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER MIDCAP GRTH I - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER SM CAP GR IS I - BOSTON FINAN 330 W. 9TH STREET KANSAS CITY, MO 66160	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALLNZ NFJ SMCAPVAL I - BOSTON FINAN 330 W. 9TH STREET KANSAS CITY, MO 66160	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AM CENT LG CO VAL IS - AMERICAN CEN 44-0619208	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AM CENT SM COMP INST - AMERICAN CEN 44-0619208	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AM CENTURY ULTRA IS - AMERICAN CENT 44-0619208	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARIEL APPRECIATION - US BANCORP FUN 39-0281260	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARIEL FUND - US BANCORP FUND SERVIC 39-0281260	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN INTL - BOSTON FINANCIAL DAT 330 W. 9TH STREET KANSAS CITY, MO 66160	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN MID CAP INV - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ASTON/M&C GROWTH N - BNY MELLON INV P.O. BOX 9793 PROVIDENCE, RI 02940	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON ASSET FUND - DST SYSTEMS, INC 43-1581814	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON GROWTH INST - DST SYSTEMS, IN 43-1581814	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
C&S INST REALTY SHS - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CALVERT BALANCED A - BOSTON FINANCI	P.O. BOX 8480 BOSTON, MA 02266	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CALVERT CAP ACC A - BOSTON FINANCIA	BFDS BUILDING, 30 DAN ROAD CANTON, MO 02021	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CALVERT EQUITY A - BOSTON FINANCIAL	P.O. BOX 8480 BOSTON, MA 02266	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CALVERT INTL EQ A - BOSTON FINANCIA BFDS BUILDING, 30 DAN ROAD CANTON, MO 02021	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DOMINI SOCIAL EQ INV - BNY MELLON A 101 SABIN STREET PAWTUCKET, RI 02860	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DOMINI SOCIAL EQTY R - BNY MELLON A 101 SABIN STREET PAWTUCKET, RI 02860	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DREY LT GR & INC INV - DREYFUS TRAN 13-2614959	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DREY LT GRTH & INC R - DREYFUS TRAN 13-2614959	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DREY MID-CAP GRTH I - DREYFUS TRANS 13-2614959	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DREY TECHN GRTH A - DREYFUS TRANSFE 13-2614959	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DREY WW GROWTH I - DREYFUS TRANSFER 13-2614959	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DWS CORE EQUITY S - DWS INVESTMENTS 02-0432775	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DWS GLB SM CAP GR S - DWS INVESTMEN 02-0432775	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DWS INTERNATIONAL IS - DWS INVESTME 02-0432775	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DWS INTERNATIONAL S - DWS INVESTMEN 02-0432775	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FKLN SMMIDCAP GTH AD - FRANKLIN TEM 94-3167260	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FPA CRESCENT - BOSTON FINANCIAL DAT 330 W. 9TH STREET KANSAS CITY, MO 66160	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS CHARTER INST - INVESCO AIM INV 98-0557567	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS CONSTELLATION A - INVESCO AIM 98-0557567	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS CONSTELLTN IS - INVESCO AIM IN 98-0557567	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS DIVRS DIVD INST - INVESCO AIM 98-0557567	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS DYNAMICS INST - INVESCO INVEST 11 GREENWAY PLAZA, SUITE 100 HOUSTON, TX 77046	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS GBL SMMDCPGR IS - INVESCO CANA 5140 YONGE STREET, SUITE 900 TORONTO, ON M2N 6 CA	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS MDCP CORE EQ IS - INVESCO CANA 5140 YONGE STREET, SUITE 900 TORONTO, ON M2N 6 CA	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS SMCP GRTH INST - INVESCO CANAD 5140 YONGE STREET, SUITE 900 TORONTO, ON M2N 6 CA	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS SMCP GRTH INV - INVESCO CANADA 5140 YONGE STREET, SUITE 900 TORONTO, ON M2N 6 CA	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
IVK GRTH & INC Y - INVESCO CANADA L 5140 YONGE STREET, SUITE 900 TORONTO, ON M2N 6 CA	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS BALANCED I - JANUS SERVICES L 43-1804048	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS ENTERPRISE I - JANUS SERVICES 43-1804048	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FLEXIBLE BD T - JANUS SERVICE 43-1804048	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FORTY I - JANUS SERVICES LLC 43-1804048	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FUND T - JANUS SERVICES LLC 43-1804048	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS OVERSEAS I - JANUS SERVICES L 43-1804048	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS RESEARCH T - JANUS SERVICES L 43-1804048	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS TWENTY T - JANUS SERVICES LLC 43-1804048	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS WORLDWIDE T - JANUS SERVICES 43-1804048	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JH SMALL COMPANY I - JOHN HANCOCK S 01-0233346	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LD ABBETT MIDCPVAL I - DST SYSTEMS, 43-1581814	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LM CM VALUE FI - BOSTON FINANCIAL D P.O. BOX 8480 BOSTON, MA 02266	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LOOMIS SM CAP VAL I - BOSTON FINANC	330 W. 9TH STREET KANSAS CITY, MO 66160	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MANAGERS BOND FUND - PNC GLOBAL INV	4400 COMPUTER DRIVE WESTBOROUGH, MA 01581	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MANAGERS SPECIAL EQ - PNC GLOBAL IN	4400 COMPUTER DRIVE WESTBOROUGH, MA 01581	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MGRS SPECIAL EQ INST - PNC GLOBAL I 4400 COMPUTER DRIVE WESTBOROUGH, MA 01581	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MGRS/C CAP APPR INST - BNY MELLON I P.O. BOX 9793 PROVIDENCE, RI 02940	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MGRS/C MID CAP INST - BNY MELLON IN P.O. BOX 9793 PROVIDENCE, RI 02940	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF ACTIVE INTL I - MORGAN STANLEY 13-3799749	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF ACTIVE INTL P - MORGAN STANLEY 13-3799749	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF BALANCED I - MORGAN STANLEY SE 13-3799749	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF BALANCED P - MORGAN STANLEY SE 13-3799749	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF CP FX INC I - MORGAN STANLEY S 13-3799749	0.05%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF EMERGING MKTS I - MORGAN STANL 13-3799749	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF GROWTH I - MORGAN STANLEY SERV 13-3799749	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF GROWTH P - MORGAN STANLEY SERV 13-3799749	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF INTL EQUITY I - MORGAN STANLEY 13-3799749	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF INTL EQUITY P - MORGAN STANLEY 13-3799749	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF MID CAP GRTH I - MORGAN STANLE 13-3799749	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF SM CO GRTH P - MORGAN STANLEY 13-3799749	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF SMALL CO GRTH I - MORGAN STANL 13-3799749	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MUTUAL GLB DISCVRY Z - FRANKLIN TEM 94-3167260	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MUTUAL SHARES Z - FRANKLIN TEMPLETO 94-3167260	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB CORE BOND INV - STATE STREET BAN 04-0025081	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB FOCUS TRUST - STATE STREET BANK 04-0025081	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB GENESIS - INST CL - STATE STREET 04-0025081	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB GUARDIAN TRUST - STATE STREET BA 04-0025081	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB MDCP GRTH TRUST - STATE STREET B 04-0025081	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB MID CAP GRTH INST - STATE STREET 04-0025081	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NB SOCIALLY RESP TR - STATE STREET 04-0025081	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK EQ & INC I - BOSTON FINANCI P.O. BOX 8480 BOSTON, MA 02266	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK FUND I - BOSTON FINANCIAL D P.O. BOX 8480 BOSTON, MA 02266	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK SELECT I - BOSTON FINANCIAL P.O. BOX 8480 BOSTON, MA 02266	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OLD MUTUAL FOCUSED Z - DST SYSTEMS, 43-1581814	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OLDMUT TSW MDCPVL Z - DST SYSTEMS, 43-1581814	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OM CR INTL SM CAP Z - DST SYSTEMS, 43-1581814	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERKINS MID CP VAL I - JANUS SERVIC 43-1804048	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERKINS SMCP VALUE I - JANUS SERVIC 43-1804048	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIM GLOB BD UNHG I - BOSTON FINANCI	330 W. 9TH STREET KANSAS CITY, MO 66160	0.01%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIM HIGH YIELD INST - BOSTON FINANC	330 W. 9TH STREET KANSAS CITY, MO 66160	0.01%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIM LT US GOVT INST - BOSTON FINANC	330 W. 9TH STREET KANSAS CITY, MO 66160	0.01%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIM TOTAL RT INST - BOSTON FINANCIA 330 W. 9TH STREET KANSAS CITY, MO 66160	0.01%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RHJ MICRO CAP - DST SYSTEMS, INC. 43-1581814	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ROYCE LOW PR STK IS - BOSTON FINANC P.O. BOX 8480 BOSTON, MA 02266	0.05%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RS SMALL CAP GRTH A - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.55%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TCW SELECT EQUITY I - U.S. BANCORP P.O. BOX 701 MILWAUKEE, WI 53201	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TCW SELECT EQUITY N - U.S. BANCORP P.O. BOX 701 MILWAUKEE, WI 53201	0.50%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TCW SM CAP GRTH I - U.S. BANCORP FU P.O. BOX 701 MILWAUKEE, WI 53201	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TCW SM CAP GRTH N - U.S. BANCORP FU P.O. BOX 701 MILWAUKEE, WI 53201	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TEMPLETON FOREIGN AD - FRANKLIN TEM 94-3167260	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TEMPLETON GROWTH ADV - FRANKLIN TEM 94-3167260	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TMPL DEV MKTS ADV - FRANKLIN TEMPLE 94-3167260	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TMPL FRGN SM CO ADV - FRANKLIN TEMP 94-3167260	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TMPL GLOBAL BOND ADV - FRANKLIN TEM 94-3167260	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TMPL WORLD FUND ADV - FRANKLIN TEMP 94-3167260	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP GROWTH STOCK - T. ROWE PRICE SE 52-2269240	0.15%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA CORNERSTONE - USAA SHAREHOLDER 74-1664189	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA EMERGING MKTS - USAA SHAREHOLD 74-1664189	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA GNMA TRUST - USAA SHAREHOLDER 74-1664189	0.25%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA GROWTH FUND - USAA SHAREHOLDER 74-1664189	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA INCOME FUND - USAA SHAREHOLDER 74-1664189	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA INCOME STOCK - USAA SHAREHOLDE 74-1664189	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA INTERNATIONAL - USAA SHAREHOLD 74-1664189	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WA CORE BOND FI - BOSTON FINANCIAL 330 W. 9TH STREET KANSAS CITY, MO 66160	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WA CORE BOND I - BOSTON FINANCIAL D 330 W. 9TH STREET KANSAS CITY, MO 66160	0.10%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA COMMON STOCK INV - BOSTON FINAN 330 W. 9TH STREET KANSAS CITY, MO 66160	0.55%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA DISCOVERY INST - BOSTON FINANCI 330 W. 9TH STREET KANSAS CITY, MO 66160	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA GOVT SECS INST - BOSTON FINANCI 330 W. 9TH STREET KANSAS CITY, MO 66160	0.05%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA GROWTH INST - BOSTON FINANCIAL 330 W. 9TH STREET KANSAS CITY, MO 66160	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA LG CAP GRTH INV - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.55%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA OPPORTUNITY ADM - BOSTON FINANC 330 W. 9TH STREET KANSAS CITY, MO 66160	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WFA SM CAP VAL INST - BOSTON FINANC	330 W. 9TH STREET KANSAS CITY, MO 66160	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BRANDYWINE FUNDS	777 E. WISCONSIN AVE MILWAUKEE, WI 53202	16.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AKRE FUNDS	777 E. WISCONSIN AVE. 4TH FL MILWAUKEE, WI 53202	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN FUNDS	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN FUNDS	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BUFFALO FUNDS	615 E. MICHIGAN STREET MILWAUKEE, WI 53202	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FMI FUNDS	777 EAST WISCONSIN AVENUE MK-WI-T5F MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
KINETICS FUNDS	777 E. WISCONSIN AVE. 4TH FLOOR MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN FUNDS	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.38%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FBR FUNDS 1001 NINETEENTH STREET NORTH ARLINGTON, VA 22209	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MOTLEY FOOL FUNDS 2000 DUKE STREET, SUITE 175 ALEXANDRIA, VA 22314	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH FUNDS 150 SOCIAL HALL AVE SUITE 400 SALT LAKE CITY, UT 84111	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH FUNDS 150 SOCIAL HALL AVE SUITE 400 SALT LAKE CITY, UT 84111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH FUNDS 150 SOCIAL HALL AVE SUITE 400 SALT LAKE CITY, UT 84111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH FUNDS 150 SOCIAL HALL AVE SUITE 400 SALT LAKE CITY, UT 84111	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GUINNESS ATKINSON FUNDS 2401 CEDAR SPRINGS RD DALLAS, TX 75201	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
STRATTON FUNDS 150 SOUTH WARNER RD, STE 460 KING OF PRUSSIA, PA 19406	16.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CAMBIAR FUNDS 1 FREEDOM VALLEY DRIVE OAKS, PA 19456	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HUSSMAN FUNDS 225 PICTORIA DRIVE, SUITE 450 CINCINNATI, OH 45246	12.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FIRST EAGLE FUNDS 1345 AVENUE OF THE AMERICAS 43RD FL NEW YORK, NY 10105	1.00% + 12.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO FUNDS 1633 BROADWAY NEW YORK, NY 10019	1.00% + 10.00%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ROYCE FUNDS 745 FIFTH AVENUE SUITE 2400 NEW YORK, NY 10151	16.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON ASSET FUNDS 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ROYCE FUNDS 745 FIFTH AVENUE SUITE 2400 NEW YORK, NY 10151	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TOCQUEVILLE TRUST 40 W 57TH STREET 19TH FL NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
U.S. GLOBAL INVESTORS 350 PARK AVE. 9TH FLOOR NEW YORK, NY 10022	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
U.S. GLOBAL INVESTORS 350 PARK AVE. 9TH FLOOR NEW YORK, NY 10022	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WEITZ FUNDS 1125 SOUTH 103RD STREET OMAHA, NE 68124	16.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WEITZ FUNDS 1125 SOUTH 103RD STREET OMAHA, NE 68124	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MUNDER FUNDS 480 PIERCE STREET BIRMINGHAM, MI 48009	0.25% + 12.00

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T. ROWE PRICE FUNDS 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	3.00%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T. ROWE PRICE FUNDS 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	3.00%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CROFT FUNDS 300 WATER STREET BALTIMORE, MD 21202	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RYDEX FUNDS 82 DEVONSHIRE ST BOSTON, MA 00000	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RYDEX FUNDS 82 DEVONSHIRE ST BOSTON, MA 00000	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
SSGA FUNDS ONE LINCOLN ST.- STATE STREET FINAN BOSTON, MA 02111-2900	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LOOMIS SAYLES FUNDS 399 BOYLSTON STREET, 8TH FL BOSTON, MA 02116	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HARBOR FUNDS 111 S. WACKER DR, 34TH FLOOR CHICAGO, IL 60606	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
EATON VANCE FUNDS 2843 EXECUTIVE PARK DRIVE WESTON, FL 33331	1.00% + 10.00

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FAIRHOLME FUNDS 4400 BISCAYNE BLVD MIAMI, FL 33137	8.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FAIRHOLME FUNDS 4400 BISCAYNE BLVD MIAMI, FL 33137	8.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FAIRHOLME FUNDS 4400 BISCAYNE BLVD MIAMI, FL 33137	8.00

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERRITT FUNDS P.O. BOX 2369 ST. LEO, FL 33574-2369	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GABELLI WESTWOOD FUNDS 3003 SUMMER STREET STAMFORD, CT 06904	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ICON FUNDS 5299 DTC BLVD. SUITE 1200 GREENWOOD VILLAGE, CO 80111	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FUNDS 151 DETROIT ST. DENVER, CO 80206	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FUNDS 151 DETROIT ST. DENVER, CO 80206	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FUNDS 151 DETROIT ST. DENVER, CO 80206	0.35%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS FUNDS 151 DETROIT ST. DENVER, CO 80206	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DOUBLELINE FUNDS 333 SOUTH GRAND AVE, STE 1800 LOS ANGELES, CA 90071	12.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS ASIAN FUNDS 4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS ASIAN FUNDS 4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS ASIAN FUNDS 4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
METROPOLITAN WEST FUNDS 865 SOUTH FIGUEROA ST. #1400 LOS ANGELES, CA 90017	0.40%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARNASSUS FUNDS ONE MARKET STREET-STEUART TOWER SUI SAN FRANCISCO, CA 94105	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERMANENT PORTFOLIO FUND 600 MONTGOMERY ST. SUITE 4100 SAN FRANCISCO, CA 94111-2702	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RS INVESTMENTS 388 MARKET ST. SAN FRANCISCO, CA 94111	0.25%

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
SELECTED FUNDS 2949 E. ELVIRA RD. TUCSON, AZ 85706	16.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUT	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CLIPPER FUNDS 2949 EAST ELVIRA ROAD, SUITE 101 TUCSON, AZ 85706	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)

(complete as many entries as needed)

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

DFE/Participating Plan Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2011

This Form is Open to Public Inspection.

For calendar plan year 2011 or fiscal plan year beginning 01/01/2011 and ending 12/31/2011

A Name of plan
SARGENT AND LUNDY LLC SAVINGS INVESTMENT PLAN

B Three-digit plan number (PN) ▶ 003

C Plan or DFE sponsor's name as shown on line 2a of Form 5500
SARGENT AND LUNDY, L.L.C.

D Employer Identification Number (EIN)
36-1729848

Part I **Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)**
(Complete as many entries as needed to report all interests in DFEs)

a Name of MTIA, CCT, PSA, or 103-12 IE: FIDELITY SHORT INTERMEDIATE

b Name of sponsor of entity listed in (a): FIDELITY MANAGEMENT TRUST COMPANY

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103 12 IE at end of year (see instructions)
04-3022712-096	C	162466576

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103 12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN

SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2011

This Form is Open to Public Inspection

For calendar plan year 2011 or fiscal plan year beginning 01/01/2011 and ending 12/31/2011

A Name of plan
SARGENT AND LUNDY LLC SAVINGS INVESTMENT PLAN

B Three-digit plan number (PN) ▶ 003

C Plan sponsor's name as shown on line 2a of Form 5500
SARGENT AND LUNDY, L.L.C.

D Employer Identification Number (EIN)
36-1729848

Part I Asset and Liability Statement

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	7808818	12834094
(2) U.S. Government securities	1c(2)	0	59651
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)	7241	5402
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	24235	23181
(B) Common	1c(4)(B)	9560462	10026787
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	5989577	6537986
(9) Value of interest in common/collective trusts	1c(9)	162420592	162466576
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	330876632	330474067
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	500180	336898

		(a) Beginning of Year	(b) End of Year
1d Employer-related investments:			
(1) Employer securities	1d(1)		
(2) Employer real property	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	517187737	522764642
Liabilities			
g Benefit claims payable	1g		
h Operating payables	1h		
i Acquisition indebtedness	1i		
j Other liabilities	1j		
k Total liabilities (add all amounts in lines 1g through1j)	1k	0	0
Net Assets			
l Net assets (subtract line 1k from line 1f)	1l	517187737	522764642

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

Income		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: **(A)** Employers	2a(1)(A)	11841272	
(B) Participants	2a(1)(B)	24858983	
(C) Others (including rollovers)	2a(1)(C)	1598798	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		38299053
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	18516	
(B) U.S. Government securities	2b(1)(B)		
(C) Corporate debt instruments	2b(1)(C)	462	
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)	225380	
(F) Other	2b(1)(F)		
(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		244358
(2) Dividends: **(A)** Preferred stock	2b(2)(A)	1964	
(B) Common stock	2b(2)(B)	140508	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	9305880	
(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		9448352
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)	40019603	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	40354788	
(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		-335185

		(a) Amount	(b) Total
2b (5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		
(B) Other	2b(5)(B)	-1036586	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		-1036586
(6) Net investment gain (loss) from common/collective trusts	2b(6)		1651384
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		-20594329
c Other income	2c		3455301
d Total income. Add all **income** amounts in column (b) and enter total	2d		31132348
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	24805308	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3)	2e(4)		24805308
f Corrective distributions (see instructions)	2f		575
g Certain deemed distributions of participant loans (see instructions)	2g		-9896
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)	458065	
(4) Other	2i(4)	301391	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		759456
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		25555443
Net Income and Reconciliation			
k Net income (loss). Subtract line 2j from line 2d	2k		5576905
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [ ] Unqualified **(2)** [ ] Qualified **(3)** [X] Disclaimer **(4)** [ ] Adverse

b Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)? [X] Yes [ ] No

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: CROWE HORWATH **(2)** EIN: 35-0921680

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. **(2)** [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete 4j and 4l. MTIAs also do not complete 4l.

During the plan year:

		Yes	No	Amount
a	Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.) **4a**		X	
b	Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.) **4b**		X	
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.) **4c**		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.) **4d**		X	
e	Was this plan covered by a fidelity bond? **4e**	X		20000000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? **4f**		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser? **4g**		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser? **4h**		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) **4i**	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.) **4j**		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? **4k**		X	
l	Has the plan failed to provide any benefit when due under the plan? **4l**		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) **4m**		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3. **4n**		X	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? If "Yes," enter the amount of any plan assets that reverted to the employer this year ☐ **Yes** ☒ **No** **Amount:**

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

This schedule is required to be filed under section 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2011

This Form is Open to Public Inspection.

For calendar plan year 2011 or fiscal plan year beginning 01/01/2011 and ending 12/31/2011

A Name of plan
SARGENT AND LUNDY LLC SAVINGS INVESTMENT PLAN

B Three-digit plan number (PN) ▶ 003

C Plan sponsor's name as shown on line 2a of Form 5500
SARGENT AND LUNDY, L.L.C.

D Employer Identification Number (EIN)
36-1729848

Part I Distributions

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions **1** 0

2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): 04-6568107

Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year. **3**

Part II Funding Information (If the plan is not subject to the minimum funding requirements of section of 412 of the Internal Revenue Code or ERISA section 302, skip this Part)

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 **a** Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) **6a**

b Enter the amount contributed by the employer to the plan for this plan year **6b**

c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) **6c**

If you completed line 6c, skip lines 8 and 9.

7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

Part III Amendments

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

Part IV ESOPs (see instructions). If this is not a plan described under Section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

11 **a** Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

14 Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:

a The current year	**14a**	
b The plan year immediately preceding the current plan year	**14b**	
c The second preceding plan year	**14c**	

15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

16 Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If item 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

19 If the total number of participants is 1,000 or more, complete items (a) through (c)

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate item 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN

Chicago, Illinois

FINANCIAL STATEMENTS

December 31, 2011 and 2010

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN
Chicago, Illinois

FINANCIAL STATEMENTS
December 31, 2011 and 2010

CONTENTS

REPORT OF INDEPENDENT AUDITORS 1

FINANCIAL STATEMENTS

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS 2

STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS 3

NOTES TO FINANCIAL STATEMENTS 4

SUPPLEMENTAL SCHEDULE

SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR) 14

Crowe Horwath

Crowe Horwath LLP
Independent Member Crowe Horwath International

REPORT OF INDEPENDENT AUDITORS

To the Plan Administrator of the
Sargent & Lundy, L.L.C.
Savings Investment Plan
Chicago, Illinois

We were engaged to audit the financial statements and supplemental schedule of Sargent & Lundy, L.L.C. Savings Investment Plan as of December 31, 2011 and 2010 and for the year ended December 31, 2011, as listed in the accompanying contents page. These financial statements and supplemental schedule are the responsibility of the Plan's management.

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the plan sponsor instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Fidelity Management Trust Company, the trustee of the Plan, except for comparing such information with the related information included in the financial statements and supplemental schedule. We have been informed by the plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The plan administrator has obtained certification from the trustee as of December 31, 2011 and 2010 and for the year ended December 31, 2011 that the information provided to the plan administrator by the trustee is complete and accurate.

Because of the significance of the information that we did not audit, we are unable to, and do not, express an opinion on the accompanying financial statements and supplemental schedule as a whole. The information included in the supplemental schedule is presented for the purpose of additional analysis and is not a required part of the financial statements but is required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.

Crowe Horwath LLP

Crowe Horwath LLP

Oak Brook, Illinois
July 25, 2012

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
December 31, 2011 and 2010

	2011	2010
ASSETS		
Investments, at fair value (Note 3)	$ 516,226,656	$ 511,198,160
Receivables		
Notes receivable from participants	6,537,986	5,989,577
Total assets	522,764,642	517,187,737
Net assets reflecting all investments at fair value	522,764,642	517,187,737
Adjustment from fair value to contract value for fully benefit-responsive investment contracts	(4,758,266)	(3,106,882)
NET ASSETS AVAILABLE FOR BENEFITS	$ 518,006,376	$ 514,080,855

See accompanying notes to financial statements.

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN
STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
Year ended December 31, 2011

Additions to net assets attributed to:	
Interest and dividends	$ 12,685,110
Contributions	
Employer	11,841,272
Employee	24,858,983
Rollovers	1,598,798
Total contributions	38,299,053
Total additions	50,984,163
Deductions from net assets attributed to:	
Net depreciation in fair value of investments	21,949,666
Benefits paid to participants	24,807,585
Administrative expenses	301,391
Total deductions	47,058,642
Net increase in net assets available for benefits	3,925,521
Net assets available for benefits	
Beginning of year	514,080,855
End of year	$ 518,006,376

See accompanying notes to financial statements.

NOTE 1 - PLAN DESCRIPTION

The Sargent & Lundy, L.L.C. Savings Investment Plan ("the Plan") is a defined contribution plan covering all eligible employees, as defined, of Sargent & Lundy, L.L.C.; S&L Engineers, Ltd.; Sargent & Lundy Illinois, Incorporated; Sargent & Lundy Enterprises, L.L.C.; Sargent & Lundy Texas, L.L.C.; Sargent & Lundy International, Incorporated; Sargent & Lundy Canada Company; S&L Powers Projects, L.L.C.; and Sargent & Lundy Pacific, Limited (collectively, "the Company"). The Plan is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended. A further description of the Plan can be obtained from the Plan document.

Contributions: Participants may make pretax and after-tax contributions subject to a combined maximum of the limits as defined in the Plan document. Pretax contributions are subject to the contribution limitations of the Internal Revenue Code ("IRC"). Absent an election, full-time employees will be automatically enrolled in the Plan at a contribution rate of 6% of eligible compensation. The Plan has also adopted a contribution escalation clause beginning April 1, 2009 for full-time participants hired on or after January 1, 2008. This provision assumes that, unless declined, each impacted participant who is contributing less than 6% of compensation to the Plan shall be deemed to have elected to increase his or her deferral percentage by 1% on each April 1, until the rate reaches 6% of compensation.

The Company contributes 50% of the first 6% of base compensation that an eligible participant contributes to the Plan. Additionally, the Company may make a discretionary contribution (non-matching contributions) to active eligible employees participating in the Plan. During 2011, the Company made a discretionary contribution of 3% of base compensation.

Participant Accounts: Each participant's account is credited with the participant's contribution and allocation of the Company's contribution (if eligible), investment earnings, and charged with his or her withdrawals and any applicable transaction fees. The benefit to which a participant is entitled is the participant's vested account balances.

Notes Receivable from Participants: Participants may obtain loans from plan assets based on individual account balances not to exceed the lesser of $50,000 or one half of their vested balance. Interest is charged at the prime rate quoted by the *Reuters News Service* as of the first day of the month in which the note is approved and is fixed at that rate for the term of the note. Principal and interest payments over a period from 12 to 60 months are due semi-monthly for active full-time employees and monthly for terminated, temporary and part-time employees.

Vesting: Participants are immediately fully vested in participant contributions and fully vested in all employer contributions after one year of service.

Forfeited Accounts: The non-vested portion of terminated participant accounts are forfeited and may be used to reduce future company contributions, reduce plan expenses, or pay for new services. The forfeited accounts were used during 2011 to reduce plan expenses and to pay for providing an investment advisory service available to participants in the amount of $42,186.

(Continued)

NOTE 1 - PLAN DESCRIPTION (Continued)

Investment Options: Employees can choose any investment fund option offered or individual security investments (through a brokerage account option) to allocate their account balances. The Stable Value Fund, arranged through Fidelity Management Trust Company ("Fidelity") specifically for the Company, is composed of fixed rate-type investments, such as individual and commingled guaranteed investment contracts, which are structured to yield a stable positive rate of return. The contributions made by each participant, as well as Company contributions, are allocated to investments based on elections made by the participant or to a default fund if no election is made.

Payment of Benefits: On termination of service, a participant may elect to remain in the Plan or choose from a number of distribution or loan options (some restrictions may apply). These options also apply to the beneficiary of a deceased participant.

Administration of the Plan and Trust: The Plan is administered by the Sargent & Lundy, L.L.C. Savings Investment Plan Committee. The trust created by the Plan is administered by the trustee, Fidelity. Trustee fees, legal expenses, and various other costs incurred in connection with the administration of the Plan may be paid by the Company or from the trust fund.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation: The accompanying financial statements are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America.

Use of Estimates: The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan Administrator to make estimates and assumptions that affect certain reported amounts and disclosures, and actual results could differ from those estimates.

Investment Valuation and Income Recognition: The Plan's investments are stated at fair value. Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation (depreciation) includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Fair value is the price that would be received by the Plan for an asset or paid by the Plan to transfer a liability (an exit price) in an orderly transaction between market participants on the measurement date in the Plan's principal or most advantageous market for the asset or liability. Fair value measurements are determined by maximizing the use of observable inputs and minimizing the use of unobservable inputs. The hierarchy places the highest priority on unadjusted quoted market prices in active markets for identical assets or liabilities (Level 1 measurements) and gives the lowest priority to unobservable inputs (Level 3 measurements). The three levels of inputs within the fair value hierarchy are defined as follows:

> Level 1: Quoted prices (unadjusted) for identical assets or liabilities in active markets that the Plan has the ability to access as of the measurement date.
>
> Level 2: Significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data.
>
> Level 3: Significant unobservable inputs that reflect the Plan's own assumptions about the assumptions that market participants would use in pricing an asset or liability.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

In some cases, a valuation technique used to measure fair value may include inputs from multiple levels of the fair value hierarchy. The lowest level of significant input determines the placement of the entire fair value measurement in the hierarchy.

The following descriptions of the valuation methods and assumptions used by the Plan to estimate the fair values of investments apply to investments held directly by the Plan.

Mutual funds and common stocks: The fair values of mutual fund and common stock investments are determined by obtaining quoted prices on nationally recognized securities exchanges (Level 1 inputs).

Money market accounts and savings deposit accounts: Fair values are estimated to approximate deposit account balances, payable on demand, as no discounts for credit quality or liquidity were determined to be applicable (Level 2 inputs).

Certificate of deposit accounts: Fair values of the certificates of deposit are tied to underlying market indices and marked-to-market on a quarterly basis (Level 2 inputs).

Wrapper contracts: Fair values of wrapper contracts associated with synthetic investment contracts are based upon a comparison of the cost of the wrappers and current re-bid prices for similar wrapper contracts as of the financial statement date (Level 2 inputs).

Collective trust: The fair values of participation units held in the collective trust are based upon the net asset values of such fund, after adjustments to reflect all fund investments at fair value, including direct interests in fully benefit-responsive contracts, as reported by the manager of the collective trust and as supported by the unit prices of actual purchase and sale transactions occurring as of or close to the financial statement date (Level 2 inputs). The investment objective of the trust is to provide a total return in excess of the Lehman Brothers Intermediate Government/Credit Bond Index with underlying investments in U.S. Treasuries, investment-grade corporate bonds, mortgage-backed and asset-backed securities. The collective trust provides for daily redemptions by the Plan at reported net asset values per share, with no advance notice requirement.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Investments measured at fair value on a recurring basis are summarized below:

	Fair Value Measurements at December 31, 2011 Using	
Investments	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
Mutual funds		
Large Cap Growth	$ 36,234,922	$ -
Large Cap Blend	64,279,703	-
Large Cap Value	4,934,798	-
Mid-Cap Growth	11,909,178	-
Mid-Cap Blend	16,042,995	-
Mid-Cap Value	4,599,024	-
Small Cap Growth	3,099,215	-
Small Cap Blend	8,129,627	-
Small Cap Value	2,263,340	-
World	1,853,272	-
Foreign	35,455,534	-
Diversified Emerging Markets	4,407,742	-
Real Estate	4,582,744	-
Various Sector Funds	17,408,420	-
Diversified Pacific/Asia	216,755	-
Europe	420,417	-
Japan	203,140	-
Latin America	2,902,284	-
Pacific/Asia ex-Japan	2,637,406	-
Balanced	6,898,008	-
Long Government Bonds	2,413,249	-
Intermediate Government Bonds	6,033,102	-
Intermediate-Term Bonds	23,543,381	-
High-Yield Bonds	4,457,789	-
International Bonds	12,285,342	-
Long-Term Bonds	672,201	-
Multi-sector Bonds	5,047,536	-
Convertibles	303,932	-
Target dates 2000-2020	17,022,877	-
Target dates 2025-2035	10,870,983	-
Target dates 2040-2050	16,787,361	-
Stable value fund		
Wrapper contracts	-	262,930
Collective trusts	-	162,466,576
Interest-bearing cash	-	8,489,589
Brokerage account		
Mutual funds	2,557,790	-
Common stock	10,026,787	-
Other	162,203	
Interest-bearing cash	-	4,344,504
	$ 340,663,057	$ 175,563,599

There were no significant transfers between Level 1 and Level 2 during 2011.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

	Fair Value Measurements at December 31, 2010 Using	
Investments	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
Mutual funds		
Large Cap Growth	$ 40,913,851	$ -
Large Cap Blend	63,495,626	-
Large Cap Value	4,397,786	-
Mid-Cap Growth	12,973,914	-
Mid-Cap Blend	17,969,690	-
Mid-Cap Value	4,972,548	-
Small Cap Growth	3,110,245	-
Small Cap Blend	8,678,693	-
Small Cap Value	1,979,704	-
World	1,849,294	-
Foreign	41,704,768	-
Diversified Emerging Markets	5,901,437	-
Real Estate	4,430,838	-
Various Sector Funds	16,499,513	-
Diversified Pacific/Asia	404,725	-
Europe	612,907	-
Japan	266,580	-
Latin America	5,286,998	-
Pacific/Asia ex-Japan	4,126,404	-
Balanced	7,325,844	-
Long Government Bonds	1,124,609	-
Intermediate Government Bonds	6,171,901	-
Intermediate-Term Bonds	25,024,069	-
High-Yield Bonds	3,975,717	-
International Bonds	5,061,439	-
Long-Term Bonds	470,266	-
Multi-sector Bonds	2,282,066	-
Convertibles	387,740	-
Target dates 2000-2020	13,925,592	-
Target dates 2025-2035	9,537,509	-
Target dates 2040-2050	13,451,801	-
Stable value fund		
Wrapper contracts	-	402,350
Collective trusts	-	162,420,592
Interest-bearing cash	-	4,144,579
Brokerage account		
Mutual funds	2,562,558	-
Common stock	9,560,462	-
Other	129,306	-
Certificate of deposit	-	108,724
Interest-bearing cash	-	3,555,515
	$ 340,566,400	$ 170,631,760

There were no significant transfers between Level 1 and Level 2 during 2010.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Fully Benefit-Responsive Investment Contracts: While Plan investments are presented at fair value in the statement of net assets available for benefits, any material difference between the fair value of the Plan's direct and indirect interests in fully benefit-responsive investment contracts and their contract value is presented as an adjustment line in the statement of net assets available for benefits, because contract value is the relevant measurement attribute for that portion of the Plan's net assets available for benefits. Contract value represents contributions made to a contract, plus earnings, less participant withdraws and administrative expenses. Participants in fully benefit-responsive contracts may ordinarily direct the withdrawal or transfer of all or a portion of their investment at contract value. The Plan holds a direct interest in fully benefit-responsive contracts.

Notes Receivable from Participants: Notes receivable from participants are reported at their unpaid principal balance plus any accrued but unpaid interest, with no allowance for credit losses, as repayments of principal and interest are received through payroll deductions and the notes are collateralized by the participants' account balances.

Payment of Benefits: Benefits are recorded when paid.

Risks and Uncertainties: The Plan provides for various investments that, in general, are exposed to various risks, such as interest rate, credit, liquidity and overall market volatility risks. Due to the level of risk and uncertainty associated with certain investments and the sensitivity of certain fair value estimates to changes in valuation assumptions, it is at least reasonably possible that changes in the fair values of investments will occur in the near term and that such changes could materially affect the amounts reported in the statements of net assets available for benefits and the participants' individual account balances.

NOTE 3 - UNAUDITED INFORMATION – CERTIFIED INVESTMENTS AND NOTES RECEIVABLE FROM PARTICIPANTS

Substantially all information pertaining to the Plan's investments and notes receivable from participants included in the financial statements, including the associated investment income (loss) and interest earned on notes receivable from participants, was obtained or derived from information supplied to the plan administrator and certified as complete and accurate by Fidelity Management Trust Company, the trustee of the Plan. This information has not been audited by independent accountants.

(Continued)

NOTE 4 - INVESTMENTS

The following presents the fair value of investments that represent 5% or more of the Plan's net assets available for benefits as of December 31:

	2011	2010
Mutual funds		
Vanguard Inst Index	$ 52,208,711	$ 52,395,768
Stable Value Fund ($166,460,829 and $163,860,639, respectively, after contract value adjustment for fully benefit-responsive contracts)		
Wrapper Contracts		
JP Morgan Chase Bank #ASARGENT-2-07	$ 198,664*	$ 200,381*
Monumental Life Insurance Company #MDA-00787TR	9,185*	64,737*
State Street Bank & Trust Company of Boston #107038	55,081*	-
AIG Financial Products Corp. #944750	-	137,232*
Wrapped Common/Collective Trusts		
Fidelity Intermediate Duration Pool	162,466,576	162,420,592
Interest-bearing cash		
Interest-bearing cash	8,489,589	4,144,579*
Total Stable Value Fund	$ 171,219,095	$ 166,967,521

* Did not meet the 5% threshold on an individual basis and is presented for comparative and informational purposes only.

During 2011, the Plan's investments (including gains and losses on investments bought and sold, as well as held, during the year) depreciated in value as follows:

Mutual funds	$ 20,487,820
Common stocks	1,461,846
Total	$ 21,949,666

(Continued)

NOTE 5 - FULLY BENEFIT-RESPONSIVE INVESTMENT CONTRACTS WITH INSURANCE COMPANIES

The Stable Value Fund ("Fund") is offered exclusively to the Plan and is comprised of fully benefit-responsive investment contracts offered by insurance companies ("Issuers"). The Fund is credited with earnings on the underlying investments and charged for participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investments at contract value. Contract value represents contributions made under the contracts, plus earnings, less participant withdrawals and administrative expenses. There are no reserves against contract values for credit risk of the contract issuers or otherwise.

The contracts specify certain conditions under which distributions from the contracts would be payable at amounts below contract value. Such circumstances include, but are not limited to, plan termination, plan merger, premature contract termination initiated by the employer, and certain other employer-initiated events, such as a sale of a division, plant closure, or lay-off that results in distributions exceeding a set amount. The contracts limit the circumstances under which the Issuers may terminate the contracts.

Examples of circumstances which would allow the Issuer to terminate the contracts include: the Plan's loss of its qualified status, uncured material breaches of responsibilities or material and adverse changes to the provisions of the Plan. If one of these events were to occur, the Issuers could terminate the contracts at amounts less than contract value. Currently, management believes that the occurrence of an event that would cause the Plan to transact contract distributions at less than contract value is not probable.

The crediting interest rates of the contracts are based on agreed-upon formulas with the issuer, as defined in the contract agreements, but cannot be less than 0%. Such interest rates are reviewed on a quarterly basis for resetting. The key factors that influence future interest crediting rates could include the following: the level of market interest rates; the amount and timing of participant contributions, transfers and withdrawals into/out of the contracts; and the duration of the underlying investments backing the contracts. The resulting gains and losses in the fair value of the investment contracts relative to the contract value, if any, are reflected in the Statements of Net Assets Available for Benefits as Adjustment from fair value to contract value for fully benefit-responsive investment contracts.

	2011	2010
Average yields, in the aggregate for the contracts:		
Based on annualized earnings (1)	1.89%	2.10%
Based on interest rate credited to participants (2)	1.84%	1.87%

(1) Computed by dividing the annualized one-day actual earnings of the contracts on the last day of the plan year by the fair value of the contract investments on the same date.

(2) Computed by dividing the annualized one-day earnings credited to participants on the last day of the plan year by the fair value of the contract investments on the same date.

(Continued)

NOTE 6 - TAX STATUS

The Internal Revenue Service has determined and informed the Company by a letter dated July 19, 2011, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the plan administrator believes that the Plan is designed and currently being operated in compliance with requirement of the IRC.

NOTE 7 - PARTY-IN-INTEREST TRANSACTIONS

Parties-in-interest are defined under the Department of Labor Regulations as any fiduciary of the Plan, any party rendering service to the Plan, the employer and certain others.

Certain plan investments are managed by Fidelity Management Trust Company, the Plan's trustee, and are shares of mutual funds offered by Fidelity Investments, an affiliate of the Plan's trustee. Accordingly, these investments qualify as party-in-interest investments. Investment management and trustee fees are paid by the Plan and these expenses are reflected in the financial statements as a reduction of the return on the Plan's investments.

Participants in the Plan are permitted to borrow funds from their vested balance as described in Note 1. These assets qualify as party-in-interest transactions. Notes receivable from participants were $6,537,986 and $5,989,577 at December 31, 2011 and 2010, respectively.

NOTE 8 - PLAN TERMINATION

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of plan termination, participants continue to be 100% vested in their accounts.

NOTE 9 - RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500

The following are reconciliations of net assets available for benefits and changes to net assets available for benefits per the financial statements to the Form 5500:

	December 31,	
	2011	2010
Net assets available for benefits per the financial statements	$ 518,006,376	$ 514,080,855
Adjustment from contract value to fair value for fully benefit-responsive investment contracts (Note 2)	4,758,266	3,106,882
Net assets per the Form 5500	$ 522,764,642	$ 517,187,737

(Continued)

NOTE 9 - RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500 (Continued)

	Year Ended December 31, 2011
Net increase in net assets available for benefits per the financial statements	$ 3,925,521
Prior year change in the difference between contract value and estimated fair value of investments in the Stable Value Fund	1,651,384
Net income per the Form 5500	$ 5,576,905

NOTE 10 - SUBSEQUENT EVENTS

Plan management has evaluated subsequent events for recognition and disclosure through July 25, 2012, which is the date the financial statements were available to be issued.

SUPPLEMENTAL SCHEDULE

SARGENT & LUNDY, L.L.C. SAVINGS INVESTMENT PLAN
SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR)
December 31, 2011

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds		
*	Fidelity Investments	FID INTM Government Income Fund	**	$ 793,975
*	Fidelity Investments	FID Emerging Europe, Middle East, and Africa	**	77,946
*	Fidelity Investments	FID Trend Fund	**	170,532
*	Fidelity Investments	FID SEL Computers Fund	**	198,854
*	Fidelity Investments	FID SEL Electronics Fund	**	167,136
*	Fidelity Investments	FID SEL Cons Staples Fund	**	598,325
*	Fidelity Investments	FID Ginnie Mae Fund	**	1,448,012
*	Fidelity Investments	FID Magellan Fund	**	20,264,384
*	Fidelity Investments	FID Contrafund Fund	**	4,905,938
*	Fidelity Investments	FID Equity Income Fund	**	227,923
*	Fidelity Investments	FID Growth Company Fund	**	2,415,036
*	Fidelity Investments	FID Investment Growth Bond Fund	**	310,192
*	Fidelity Investments	FID Growth and Income Fund	**	208,411
*	Fidelity Investments	FID SEL Software Fund	**	604,171
*	Fidelity Investments	FID Intermed Bond Fund	**	399,007
*	Fidelity Investments	FID SEL Air Transprt Fund	**	85,954
*	Fidelity Investments	FID Capital and Income Fund	**	2,539,594
*	Fidelity Investments	FID Value Fund	**	1,374,798
*	Fidelity Investments	FID SEL Gold Fund	**	3,047,889
*	Fidelity Investments	FID SEL Biotech Fund	**	775,987
*	Fidelity Investments	FID SEL Energy Svcs Fund	**	1,465,284
*	Fidelity Investments	FID SEL Insurance Fund	**	34,224
*	Fidelity Investments	FID SEL Retailing Fund	**	169,084
*	Fidelity Investments	FID Govt. Income Fund	**	1,170,954
*	Fidelity Investments	FID SEL Energy Fund	**	2,540,875
*	Fidelity Investments	FID SEL Leisure Fund	**	355,420
*	Fidelity Investments	FID SEL Healthcare Fund	**	747,434
*	Fidelity Investments	FID SEL Technology Fund	**	750,133
*	Fidelity Investments	FID SEL Utilities GR Fund	**	527,452
*	Fidelity Investments	FID SEL Financial Fund	**	172,882
*	Fidelity Investments	FID SEL Defense Fund	**	699,224
*	Fidelity Investments	FID SEL Brokerage Fund	**	163,904
*	Fidelity Investments	FID SEL Chemical Fund	**	781,207
*	Fidelity Investments	FID Independence Fund	**	443,347
*	Fidelity Investments	FID OTC Portfolio Fund	**	385,905
*	Fidelity Investments	FID Overseas Fund	**	109,732
*	Fidelity Investments	FID SEL Small Cap	**	149,251
*	Fidelity Investments	FID SEL Large Cap Value	**	224,465
*	Fidelity Investments	FID SEL Telecomm Fund	**	69,076
*	Fidelity Investments	FID SEL Home Finance Fund	**	11,990
*	Fidelity Investments	FID Leveraged Co. Stk Fund	**	2,907,616
*	Fidelity Investments	FID Europe Fund	**	154,404
*	Fidelity Investments	FID Pacific Basin Fund	**	216,755
*	Fidelity Investments	FID Real Estate Invs Fund	**	1,094,227
*	Fidelity Investments	FID Balanced Fund	**	2,139,942
*	Fidelity Investments	FID Intl Discovery Fund	**	601,358

See Report of Independent Auditors.
(Continued)

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
*	Fidelity Investments	FID Telecom & Utilities Fund	**	$ 527,211
*	Fidelity Investments	FID Convertible Sec Fund	**	303,932
*	Fidelity Investments	FID Canada Fund	**	3,502,566
*	Fidelity Investments	FID Puritan Fund K	**	373,113
*	Fidelity Investments	FID Blue Chip Growth Fund	**	1,128,765
*	Fidelity Investments	FID Asset Manager 50% Fund	**	97,255
*	Fidelity Investments	FID Disciplined Equity Fund	**	7,637
*	Fidelity Investments	FID Value Strategy Fund	**	60,457
*	Fidelity Investments	FID Worldwide Fund	**	171,881
*	Fidelity Investments	FID Stock Selector Fund	**	44,587
*	Fidelity Investments	FID Asset Manager 70% Fund	**	29,182
*	Fidelity Investments	FID Emerging Markets Fund	**	1,628,307
*	Fidelity Investments	FID Diversified Intl Fund	**	12,324,441
*	Fidelity Investments	FID Asset Manager 20% Fund	**	178,300
*	Fidelity Investments	FID Dividend Growth Fund	**	591,321
*	Fidelity Investments	FID New Markets Inc. Fund	**	1,695,575
*	Fidelity Investments	FID Focused Stock Fund	**	134,771
*	Fidelity Investments	FID Global Balanced Fund	**	79,316
*	Fidelity Investments	FID Intl Cap Appreciation Fund	**	321,879
*	Fidelity Investments	FID Mid Cap Stock Fund	**	981,892
*	Fidelity Investments	FID Large Cap Stock Fund	**	211,506
*	Fidelity Investments	FID Growth Discovery Fund	**	235,602
*	Fidelity Investments	FID Small Cap Stock Fund	**	835,064
*	Fidelity Investments	FID Europe Cap App Fund	**	84,367
*	Fidelity Investments	FID Nordic Fund	**	181,646
*	Fidelity Investments	FID Asset Manager 85% Fund	**	96,845
*	Fidelity Investments	FID Latin America Fund	**	2,902,284
*	Fidelity Investments	FID Japan Fund	**	50,221
*	Fidelity Investments	FID Japan Smaller Co Fund	**	152,919
*	Fidelity Investments	FID China Region Fund	**	1,679,405
*	Fidelity Investments	FID SEL IT Services Fund	**	113,178
*	Fidelity Investments	FID SEL Med Eq and Sys Fund	**	736,950
*	Fidelity Investments	FID Mega Cap Stock Fund	**	103,479
*	Fidelity Investments	FID Strategic Income Fund	**	1,610,875
*	Fidelity Investments	FID Small Cap Discovery	**	584,432
*	Fidelity Investments	FID Freedom Income Fund	**	65,494
*	Fidelity Investments	FID Freedom 2000 Fund	**	486
*	Fidelity Investments	FID Freedom 2005 Fund	**	5,597
*	Fidelity Investments	FID Freedom 2010 Fund	**	354,301
*	Fidelity Investments	FID Freedom 2015 Fund	**	178,093
*	Fidelity Investments.	FID Freedom 2020 Fund	**	1,081,179
*	Fidelity Investments	FID Freedom 2025 Fund	**	50,988
*	Fidelity Investments	FID Freedom 2030 Fund	**	356,142
*	Fidelity Investments	FID Freedom 2035 Fund	**	20,045
*	Fidelity Investments	FID Freedom 2040 Fund	**	74,352
*	Fidelity Investments	FID Freedom 2045 Fund	**	70,221

See Report of Independent Auditors.
(Continued)

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
*	Fidelity Investments	FID Freedom 2050 Fund	**	$ 142,189
*	Fidelity Investments	FID Freedom 2055 Fund	**	1,914
*	Fidelity Investments	FID High Income Fund	**	570,382
*	Fidelity Investments	FID Fifty Fund	**	362,804
*	Fidelity Investments	FID SEL Automotive Fund	**	272,022
*	Fidelity Investments	FID SEL Multimedia Fund	**	104,869
*	Fidelity Investments	FID SEL Medical Del Fund	**	1,162,496
*	Fidelity Investments	FID SEL Banking Fund	**	219,590
*	Fidelity Investments	FID Intl Value	**	4,568
*	Fidelity Investments	FID SEL Constr/House Fund	**	43,117
*	Fidelity Investments	FID SEL Transport Fund	**	565,108
*	Fidelity Investments	FID SEL Natural Gas Fund	**	606,728
*	Fidelity Investments	FID SEL Natural Res Fund	**	1,322,005
*	Fidelity Investments	FID SEL Intl Small Cap Opp	**	27,400
*	Fidelity Investments	FID SEL Environment Fund	**	61,779
*	Fidelity Investments	FID SEL Consumer Discr Fund	**	48,763
*	Fidelity Investments	FID SEL Comm Equip Fund	**	65,811
*	Fidelity Investments	FID SEL Pharmaceutical Fund	**	462,484
*	Fidelity Investments	FID Retire Market Fund	**	67,465
*	Fidelity Investments	FID Inflat Prot Bond Fund	**	2,058,187
*	Fidelity Investments	FID SEL Wireless Fund	**	188,494
*	Fidelity Investments	FID Equity Dividend Income	**	113,194
*	Fidelity Investments	FID Emerging Asia	**	958,000
*	Fidelity Investments	FID Focused High Inc Fund	**	43,980
*	Fidelity Investments	FID Real Estate Inc Fund	**	268,574
*	Fidelity Investments	FID Value Discovery	**	168,106
*	Fidelity Investments	FID Blue Chip Value	**	204,939
*	Fidelity Investments	FID NASDAQ Comp Indx	**	114,444
*	Fidelity Investments	FID Strat Div & Inc	**	163,485
*	Fidelity Investments	FID Intl Real Estate	**	276,681
*	Fidelity Investments	FID Small Cap Growth	**	406,918
*	Fidelity Investments	FID Small Cap Value	**	208,173
*	Fidelity Investments	FID Mid Cap Value	**	46,912
*	Fidelity Investments	FID Large Cap Growth	**	303,172
*	Fidelity Investments	FID Mid Cap Growth	**	46,183
*	Fidelity Investments	FID Float Rt Hi Inc	**	184,814
*	Fidelity Investments	FID Total Bond	**	155,548
*	Fidelity Investments	FID Growth Strategies	**	4,716,107
*	Fidelity Investments	FID Globa Stratgy	**	13,140
*	Fidelity Investments	FID Mortgage Sec	**	38,063
*	Fidelity Investments	FID Four in One Idx	**	72,894

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
*	Fidelity Investments	FID SEL Materials	**	$ 684,703
*	Fidelity Investments	FID SEL Industrial Equip	**	215,705
*	Fidelity Investments	FID SEL Industrials	**	274,719
*	Fidelity Investments	FID Large Cap Growth Enhanced Index	**	7,060
	The Vanguard Group	Vanguard LS Growth Fund	**	585,884
	The Vanguard Group	Vanguard LS Income Fund	**	684,679
	The Vanguard Group	Vanguard LS Conservative Growth Fund	**	612,968
	The Vanguard Group	Vanguard LS Moderate Growth Fund	**	361,641
	The Vanguard Group	Vanguard Explorer Adm Fund	**	1,083,790
	The Vanguard Group	Vanguard Target Ret Inc Fund	**	912,587
	The Vanguard Group	Vanguard Target Ret 2005 Fund	**	1,123,096
	The Vanguard Group	Vanguard Target Ret 2010 Fund	**	2,957,732
	The Vanguard Group	Vanguard Target Ret 2015 Fund	**	6,140,161
	The Vanguard Group	Vanguard Target Ret 2020 Fund	**	5,116,738
	The Vanguard Group	Vanguard Target Ret 2025 Fund	**	3,799,209
	The Vanguard Group	Vanguard Target Ret 2030 Fund	**	3,518,564
	The Vanguard Group	Vanguard Target Ret 2035 Fund	**	3,126,033
	The Vanguard Group	Vanguard Target Ret 2040 Fund	**	3,768,159
	The Vanguard Group	Vanguard Target Ret 2045 Fund	**	5,528,654
	The Vanguard Group	Vanguard Target Ret 2050 Fund	**	7,201,873
	The Vanguard Group	Vanguard Infl Prot Adm Fund	**	2,649,244
	The Vanguard Group	Vanguard Inst Index	**	52,208,711
	The Vanguard Group	Vanguard Total Bond Market Index	I**	3,370,678
	The Vanguard Group	Vanguard Total Intl Stock Market Index	**	811,731
	The Vanguard Group	Vanguard Total Stock Market Index	**	1,379,167
	Franklin Templeton Investments	Mutual Global Discovery Z Fund	**	708,000
	Franklin Templeton Investments	Mutual Shares CL Z Fund	**	258,133
	PIMCO Global Advisors	PIMCO Tot Return Inst Fund	**	22,207,101
	PIMCO Global Advisors	PIMCO Glbbnd Ad Unhdgd Fund	**	2,081,583
	PIMCO Global Advisors	PIMCO High Yield Adm Fund	**	1,119,018
	PIMCO Global Advisors	PIMCO Lt U.S. Govt Adm Fund	**	2,413,249
	Janus Funds	Janus Flexible Bond Fund	**	787,418
	Janus Funds	Janus Fund	**	95,568
	Janus Funds	Janus Twenty Fund	**	469,225
	Janus Funds	Janus Worldwide Fund	**	191,564
	Janus Funds	Janus Overseas I Fund	**	1,367,512
	Janus Funds	Janus Adv Forty S Fund	**	227,217
	Janus Funds	Janus Research Fund	**	232,981
	Janus Funds	Perkins Small Cap Vl Is	**	3,456,806
	Janus Funds	Janus Balanced Fund	**	275,907
	Janus Funds	Janus Enterprise Fund	**	349,752
	AIM Investments	AIM Dynamics Inv Fund	**	71,754
	AIM Investments	AIM Sm Cap Grth Inv Fund	**	35,685
	AIM Investments	AIM Constellation A Fund	**	18,898
	AIM Investments	AIM Charter Inst Fund	**	57,998
	AIM Investments	AIM Midcap Core Eq I Fund	**	251,620

See Report of Independent Auditors.
(Continued)

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
	AIM Investments	AIM Divsf Divd Inv Fund	**	$ 279,758
	AIM Investments	AIM Gbl Sm&Mdcp Gr A	**	40,228
	Dreyfus	Drey Mid-Cap Growth I	**	121,941
	Dreyfus	Drey Lt Growth & Income Inv	**	22,624
	Franklin Templeton Investments	Templeton Foreign Sm Co A Fund	**	173,735
	Franklin Templeton Investments	Templeton Foreign A Fund	**	216,211
	Franklin Templeton Investments	Templeton Dev Mkts A Fund	**	745,667
	Franklin Templeton Investments	Templeton Growth A Fund	**	370,326
	Franklin Templeton Investments	Templeton Global Bond A Fund	**	3,677,097
	Franklin Templeton Investments	Templeton World A Fund	**	202,236
	Franklin Templeton Investments	Franklin Small-Mid Cap Growth A Fund	**	76,159
	Morgan Stanley Investment Mgmt	MSIF Sm Co Growth P Fund	**	51,100
	Morgan Stanley Investment Mgmt	MSIF Emerging Mkts P Fund	**	222,509
	Morgan Stanley Investment Mgmt	MSIF Intl Equity P Fund	**	104,153
	Neuberger Berman	NB Focus Trust Fund	**	33,908
	Neuberger Berman	NB Genesis – INST CL	**	1,386,988
	Neuberger Berman	NB MDCP Grth Trust	**	59,563
	Spartan	Spartan Total Mkt Index Fund	**	2,350,636
	Spartan	Spartan Extnd Mkt Index Fund	**	7,774,399
	Spartan	Spartan Intl Index Fund	**	15,294,331
	Spartan	Spartan US Bond Index	**	3,092,481
	American Century Investments	Am Cent Ultra Inv Fund	**	63,890
	American Century Investments	Am Cen Lg Co Val Inv Fund	**	125,590
	American Century Investments	Am Cent Sm Comp Inv Fund	**	178,913
	Archer Funds	ABF Balanced PA Fund	**	190,591
	Archer Funds	ABF Large Cap Value	**	804,494
	Archer Funds	ABF Intl Equity PA Fund	**	117,613
	Baron Funds	Baron Growth Fund	**	1,811,284
	Baron Funds	Baron Asset Fund	**	287,485
	Calvert	Calvert SIF Balanced A Fund	**	516
	Calvert	Calvert SIF Equity A	**	400
	Calvert	Calvert Cap Acc A	**	56,011
	Calvert	Calvert Intl Equity A	**	3,293
	First Pacific Advisors	FPA Crescent Fund	**	1,821,945
	Rice Hall James	RHJ Micro Cap Fund	**	131,367
	Ariel Mutual Funds	Ariel Fund	**	592,284
	Ariel Mutual Funds	Ariel Appreciation Fund	**	349,835
	Neuberger Berman	NB Core Bond Inv Fund	**	26,576
	Alger	Alger Cap Apprec I Fund	**	405,366
	Alger	Alger Midcap Growth I Fund	**	359,352
	Alger	Alger Small Cap I Fund	**	139,807
	Morgan Stanley Investment Mgmt	MSIF Capital Growth P	**	45,784
	Morgan Stanley Investment Mgmt	MSIF Balanced P Fund	**	5,236
	Morgan Stanley Investment Mgmt	MSIF Active Intl P Fund	**	15,631
	Morgan Stanley Investment Mgmt	MSIF CP FX Inc P Fund	**	49,508
	Morgan Stanley Investment Mgmt	MSIF Midcap Growth I Fund	**	1,584,525

See Report of Independent Auditors.
(Continued)

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
	Domini Social Investors	Domini Social Equity Fund	**	$ 54,749
	T. Rowe Price	TRP Growth Stock Fund	**	1,459,147
	DWS Scudder	DWS International S Fund	**	34,077
	DWS Scudder	DWS Global Small Cap Growth S Fund	**	77,950
	DWS Scudder	DWS Small Cap Growth S Fund	**	31,446
	DWS Scudder	DWS Core Equity	**	12,355
	TCW Funds	TCW Sm Cap Growth N Fund	**	31,660
	Neuberger Berman	NB Partners Trust Fund	**	365,987
	Neuberger Berman	NB Socially Resp Tr Fund	**	14,682
	Oakmark Funds	Oakmark Select I Fund	**	583,120
	Oakmark Funds	Oakmark Fund I Fund	**	456,143
	Oakmark Funds	Oakmark Eq & Inc I Fund	**	2,011,441
	Managers Investment Group	Managers C Capital Appreciation Fund	**	78,126
	Managers Investment Group	Managers Mid Cap Value Fund	**	209,428
	Allianz Global Investors	Allnz Small-Mid Cap Value AD Fund	**	1,908,204
	Cohen & Steers Capital Mgmt	Cohen & Steers Rlty Fund Shs	**	2,943,262
	Wells Fargo Advantage Funds	WFA Discovery Inv Fund	**	121,029
	Wells Fargo Advantage Funds	WFA Growth Inv Fund	**	1,189,415
	Wells Fargo Advantage Funds	WFA Common Stock Z Fund	**	141,344
	Wells Fargo Advantage Funds	WFA Opportunity Inv Fund	**	107,261
	Wells Fargo Advantage Funds	WFA Lg Cap Growth Inv Fund	**	15,867
	Wells Fargo Advantage Funds	WFA Govt Security Inv Fund	**	307,852
	Wells Fargo Advantage Funds	WFA Small Cap Val Inv	**	1,500,696
	USAA Investments	USAA Cornerstone Fund	**	4,166
	USAA Investments	USAA GNMA Trust Fund	**	148,595
	USAA Investments	USAA Income Fund	**	354,181
	USAA Investments	USAA Income Stock Fund	**	22,813
	USAA Investments	USAA International Fund	**	150,621
	USAA Investments	USAA Growth Fund	**	6,374
	USAA Investments	USAA Emerging Mkts Fund	**	115,685
	American Funds	AF Washington Mutl A Fund	**	2,102,222
	Artisan Funds	Artisan Intl Fund	**	253,363
	Artisan Funds	Artisan Mid Cap Inv Fund	**	424,436
	Managers Investment Group	Managers Special Eq Fund	**	70,492
	Managers Investment Group	Managers Bond Fund	**	672,201
	RS Funds	RS Smaller Co Growth A Fund	**	58,534
	Lord Abbett	LD Abbett Mid Cap Value A Fund	**	241,219
	Legg Mason	LM Value Trust FI CL Fund	**	288,715
	Aberdeen Asset Management	ABDN Global Fx Inc IS	**	63,502
	Aberdeen Asset Management	ABDN US Equity II A	**	144,116
	Royce Funds	Royce Low Pr Stk Inv Fund	**	495,299
	Old Mutual Capital	Oldmut TSW MidCap Value Z	**	11,527
	Old Mutual Capital	Oldmut Strat Small Co Z	**	4,591
	Old Mutual Capital	Oldmut Focused Z	**	86,668
	Van Kampen Investments	VK Growth & Income A Fund	**	408,835

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
	Loomis Sayles funds	Loomis Sm Cap Value I Fund	**	$ 91,201
	West Asset	Core Bond FI Fund	**	41,269
*	Fidelity Investments	Fidelity New Millenium	**	22,335
*	Fidelity Investments	Fidelity Large Cap Core Enhanced Index	**	9,378
*	Fidelity Investments	Fidelity Large Cap Value Enhanced Index	**	51,724
*	Fidelity Investments	Fidelity Asset Manager 30%	**	49,768
*	Fidelity Investments	Fidelity Asset Manager 60%	**	2,769
*	Fidelity Investments	Fidelity Intl Growth	**	21,321
*	Fidelity Investments	Fidelity Small Cap Enhanced Index	**	14,811
*	Fidelity Investments	Fidelity Mid Cap Enhanced Index	**	14,070
	Janus Funds	Perkins Mid Cap Value	**	1,859,349
	Archer Funds	ABF Small Cap Value	**	355,136
	Neuberger Berman	NB Guardian Trust	**	534
	John Hancock	JH Small Company I	**	237,231
	TCW Funds	TCW Select Equity N	**	166,616
	DWS Scudder	DWS Strategic Value IS	**	40,929
*	Fidelity Investments	FID 130/30 Large Cap	**	2,456
*	Fidelity Investments	FID Cap Appreciation	**	375,304
*	Fidelity Investments	FID Export & Multi K	**	385,189
*	Fidelity Investments	FID Fund K	**	340,641
*	Fidelity Investments	FID Low Priced Stock K	**	2,207,259
				327,916,277
		Brokerage Account		
*	Fidelity Mgmt. Trust Co.	Brokerage Account	**	17,091,284
		Stable Value Fund		
	Wrapper Contracts			
	Monumental Life Insurance Co.	Wrapper contract #MDA00379TR, Rate of 4.725%	**	9,185
	JP Morgan Chase Bank	Wrapper contract #ASARGENT-2-07 Rate of 4.725%	**	198,664
	State Street Bank & Trust Company of Boston	Wrapper contract #107038, Rate of 4.725%	**	55,081
	Collective Trust			
*	Fidelity Mgmt. Trust Co.	CCT - Fidelity Intermediate Duration Pool	**	162,466,576

SARGENT & LUNDY, L.L.C. SAVINGS INVESTMENT PLAN
SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR)
December 31, 2011

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Interest Bearing Cash		
*	Fidelity Mgmt. Trust Co.	Interest-bearing cash	**	$ 8,489,589
				171,219,095
		Participant Loans		
*	Participant Loans	Interest rates ranging from 3.25% to 8.25%	**	6,537,986
				$ 522,764,642

* Denotes party-in-interest.
** Cost information is not required for participant-directed investments and, therefore, is not included.

See Report of Independent Auditors.

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN

Chicago, Illinois

FINANCIAL STATEMENTS

December 31, 2011 and 2010

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN
Chicago, Illinois

FINANCIAL STATEMENTS
December 31, 2011 and 2010

CONTENTS

REPORT OF INDEPENDENT AUDITORS 1

FINANCIAL STATEMENTS

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS 2

STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS 3

NOTES TO FINANCIAL STATEMENTS 4

SUPPLEMENTAL SCHEDULE

SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR) 14

Crowe Horwath

Crowe Horwath LLP
Independent Member Crowe Horwath International

REPORT OF INDEPENDENT AUDITORS

To the Plan Administrator of the
Sargent & Lundy, L.L.C.
Savings Investment Plan
Chicago, Illinois

We were engaged to audit the financial statements and supplemental schedule of Sargent & Lundy, L.L.C. Savings Investment Plan as of December 31, 2011 and 2010 and for the year ended December 31, 2011, as listed in the accompanying contents page. These financial statements and supplemental schedule are the responsibility of the Plan's management.

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the plan sponsor instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Fidelity Management Trust Company, the trustee of the Plan, except for comparing such information with the related information included in the financial statements and supplemental schedule. We have been informed by the plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The plan administrator has obtained certification from the trustee as of December 31, 2011 and 2010 and for the year ended December 31, 2011 that the information provided to the plan administrator by the trustee is complete and accurate.

Because of the significance of the information that we did not audit, we are unable to, and do not, express an opinion on the accompanying financial statements and supplemental schedule as a whole. The information included in the supplemental schedule is presented for the purpose of additional analysis and is not a required part of the financial statements but is required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.

Crowe Horwath LLP

Crowe Horwath LLP

Oak Brook, Illinois
July 25, 2012

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
December 31, 2011 and 2010

	2011	2010
ASSETS		
Investments, at fair value (Note 3)	$ 516,226,656	$ 511,198,160
Receivables		
Notes receivable from participants	6,537,986	5,989,577
Total assets	522,764,642	517,187,737
Net assets reflecting all investments at fair value	522,764,642	517,187,737
Adjustment from fair value to contract value for fully benefit-responsive investment contracts	(4,758,266)	(3,106,882)
NET ASSETS AVAILABLE FOR BENEFITS	$ 518,006,376	$ 514,080,855

See accompanying notes to financial statements.

SARGENT & LUNDY, L.L.C.
SAVINGS INVESTMENT PLAN
STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
Year ended December 31, 2011

Additions to net assets attributed to:	
Interest and dividends	$ 12,685,110
Contributions	
Employer	11,841,272
Employee	24,858,983
Rollovers	1,598,798
Total contributions	38,299,053
Total additions	50,984,163
Deductions from net assets attributed to:	
Net depreciation in fair value of investments	21,949,666
Benefits paid to participants	24,807,585
Administrative expenses	301,391
Total deductions	47,058,642
Net increase in net assets available for benefits	3,925,521
Net assets available for benefits	
Beginning of year	514,080,855
End of year	$ 518,006,376

See accompanying notes to financial statements.

NOTE 1 - PLAN DESCRIPTION

The Sargent & Lundy, L.L.C. Savings Investment Plan ("the Plan") is a defined contribution plan covering all eligible employees, as defined, of Sargent & Lundy, L.L.C.; S&L Engineers, Ltd.; Sargent & Lundy Illinois, Incorporated; Sargent & Lundy Enterprises, L.L.C.; Sargent & Lundy Texas, L.L.C.; Sargent & Lundy International, Incorporated; Sargent & Lundy Canada Company; S&L Powers Projects, L.L.C.; and Sargent & Lundy Pacific, Limited (collectively, "the Company"). The Plan is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended. A further description of the Plan can be obtained from the Plan document.

Contributions: Participants may make pretax and after-tax contributions subject to a combined maximum of the limits as defined in the Plan document. Pretax contributions are subject to the contribution limitations of the Internal Revenue Code ("IRC"). Absent an election, full-time employees will be automatically enrolled in the Plan at a contribution rate of 6% of eligible compensation. The Plan has also adopted a contribution escalation clause beginning April 1, 2009 for full-time participants hired on or after January 1, 2008. This provision assumes that, unless declined, each impacted participant who is contributing less than 6% of compensation to the Plan shall be deemed to have elected to increase his or her deferral percentage by 1% on each April 1, until the rate reaches 6% of compensation.

The Company contributes 50% of the first 6% of base compensation that an eligible participant contributes to the Plan. Additionally, the Company may make a discretionary contribution (non-matching contributions) to active eligible employees participating in the Plan. During 2011, the Company made a discretionary contribution of 3% of base compensation.

Participant Accounts: Each participant's account is credited with the participant's contribution and allocation of the Company's contribution (if eligible), investment earnings, and charged with his or her withdrawals and any applicable transaction fees. The benefit to which a participant is entitled is the participant's vested account balances.

Notes Receivable from Participants: Participants may obtain loans from plan assets based on individual account balances not to exceed the lesser of $50,000 or one half of their vested balance. Interest is charged at the prime rate quoted by the *Reuters News Service* as of the first day of the month in which the note is approved and is fixed at that rate for the term of the note. Principal and interest payments over a period from 12 to 60 months are due semi-monthly for active full-time employees and monthly for terminated, temporary and part-time employees.

Vesting: Participants are immediately fully vested in participant contributions and fully vested in all employer contributions after one year of service.

Forfeited Accounts: The non-vested portion of terminated participant accounts are forfeited and may be used to reduce future company contributions, reduce plan expenses, or pay for new services. The forfeited accounts were used during 2011 to reduce plan expenses and to pay for providing an investment advisory service available to participants in the amount of $42,186.

(Continued)

NOTE 1 - PLAN DESCRIPTION (Continued)

Investment Options: Employees can choose any investment fund option offered or individual security investments (through a brokerage account option) to allocate their account balances. The Stable Value Fund, arranged through Fidelity Management Trust Company ("Fidelity") specifically for the Company, is composed of fixed rate-type investments, such as individual and commingled guaranteed investment contracts, which are structured to yield a stable positive rate of return. The contributions made by each participant, as well as Company contributions, are allocated to investments based on elections made by the participant or to a default fund if no election is made.

Payment of Benefits: On termination of service, a participant may elect to remain in the Plan or choose from a number of distribution or loan options (some restrictions may apply). These options also apply to the beneficiary of a deceased participant.

Administration of the Plan and Trust: The Plan is administered by the Sargent & Lundy, L.L.C. Savings Investment Plan Committee. The trust created by the Plan is administered by the trustee, Fidelity. Trustee fees, legal expenses, and various other costs incurred in connection with the administration of the Plan may be paid by the Company or from the trust fund.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation: The accompanying financial statements are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America.

Use of Estimates: The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan Administrator to make estimates and assumptions that affect certain reported amounts and disclosures, and actual results could differ from those estimates.

Investment Valuation and Income Recognition: The Plan's investments are stated at fair value. Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation (depreciation) includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Fair value is the price that would be received by the Plan for an asset or paid by the Plan to transfer a liability (an exit price) in an orderly transaction between market participants on the measurement date in the Plan's principal or most advantageous market for the asset or liability. Fair value measurements are determined by maximizing the use of observable inputs and minimizing the use of unobservable inputs. The hierarchy places the highest priority on unadjusted quoted market prices in active markets for identical assets or liabilities (Level 1 measurements) and gives the lowest priority to unobservable inputs (Level 3 measurements). The three levels of inputs within the fair value hierarchy are defined as follows:

> Level 1: Quoted prices (unadjusted) for identical assets or liabilities in active markets that the Plan has the ability to access as of the measurement date.
>
> Level 2: Significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data.
>
> Level 3: Significant unobservable inputs that reflect the Plan's own assumptions about the assumptions that market participants would use in pricing an asset or liability.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

In some cases, a valuation technique used to measure fair value may include inputs from multiple levels of the fair value hierarchy. The lowest level of significant input determines the placement of the entire fair value measurement in the hierarchy.

The following descriptions of the valuation methods and assumptions used by the Plan to estimate the fair values of investments apply to investments held directly by the Plan.

Mutual funds and common stocks: The fair values of mutual fund and common stock investments are determined by obtaining quoted prices on nationally recognized securities exchanges (Level 1 inputs).

Money market accounts and savings deposit accounts: Fair values are estimated to approximate deposit account balances, payable on demand, as no discounts for credit quality or liquidity were determined to be applicable (Level 2 inputs).

Certificate of deposit accounts: Fair values of the certificates of deposit are tied to underlying market indices and marked-to-market on a quarterly basis (Level 2 inputs).

Wrapper contracts: Fair values of wrapper contracts associated with synthetic investment contracts are based upon a comparison of the cost of the wrappers and current re-bid prices for similar wrapper contracts as of the financial statement date (Level 2 inputs).

Collective trust: The fair values of participation units held in the collective trust are based upon the net asset values of such fund, after adjustments to reflect all fund investments at fair value, including direct interests in fully benefit-responsive contracts, as reported by the manager of the collective trust and as supported by the unit prices of actual purchase and sale transactions occurring as of or close to the financial statement date (Level 2 inputs). The investment objective of the trust is to provide a total return in excess of the Lehman Brothers Intermediate Government/Credit Bond Index with underlying investments in U.S. Treasuries, investment-grade corporate bonds, mortgage-backed and asset-backed securities. The collective trust provides for daily redemptions by the Plan at reported net asset values per share, with no advance notice requirement.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Investments measured at fair value on a recurring basis are summarized below:

	Fair Value Measurements at December 31, 2011 Using	
Investments	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
Mutual funds		
Large Cap Growth	$ 36,234,922	$ -
Large Cap Blend	64,279,703	-
Large Cap Value	4,934,798	-
Mid-Cap Growth	11,909,178	-
Mid-Cap Blend	16,042,995	-
Mid-Cap Value	4,599,024	-
Small Cap Growth	3,099,215	-
Small Cap Blend	8,129,627	-
Small Cap Value	2,263,340	-
World	1,853,272	-
Foreign	35,455,534	-
Diversified Emerging Markets	4,407,742	-
Real Estate	4,582,744	-
Various Sector Funds	17,408,420	-
Diversified Pacific/Asia	216,755	-
Europe	420,417	-
Japan	203,140	-
Latin America	2,902,284	-
Pacific/Asia ex-Japan	2,637,406	-
Balanced	6,898,008	-
Long Government Bonds	2,413,249	-
Intermediate Government Bonds	6,033,102	-
Intermediate-Term Bonds	23,543,381	-
High-Yield Bonds	4,457,789	-
International Bonds	12,285,342	-
Long-Term Bonds	672,201	-
Multi-sector Bonds	5,047,536	-
Convertibles	303,932	-
Target dates 2000-2020	17,022,877	-
Target dates 2025-2035	10,870,983	-
Target dates 2040-2050	16,787,361	-
Stable value fund		
Wrapper contracts	-	262,930
Collective trusts	-	162,466,576
Interest-bearing cash	-	8,489,589
Brokerage account		
Mutual funds	2,557,790	-
Common stock	10,026,787	-
Other	162,203	
Interest-bearing cash	-	4,344,504
	$ 340,663,057	$ 175,563,599

There were no significant transfers between Level 1 and Level 2 during 2011.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

	Fair Value Measurements at December 31, 2010 Using	
Investments	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
Mutual funds		
Large Cap Growth	$ 40,913,851	$ -
Large Cap Blend	63,495,626	-
Large Cap Value	4,397,786	-
Mid-Cap Growth	12,973,914	-
Mid-Cap Blend	17,969,690	-
Mid-Cap Value	4,972,548	-
Small Cap Growth	3,110,245	-
Small Cap Blend	8,678,693	-
Small Cap Value	1,979,704	-
World	1,849,294	-
Foreign	41,704,768	-
Diversified Emerging Markets	5,901,437	-
Real Estate	4,430,838	-
Various Sector Funds	16,499,513	-
Diversified Pacific/Asia	404,725	-
Europe	612,907	-
Japan	266,580	-
Latin America	5,286,998	-
Pacific/Asia ex-Japan	4,126,404	-
Balanced	7,325,844	-
Long Government Bonds	1,124,609	-
Intermediate Government Bonds	6,171,901	-
Intermediate-Term Bonds	25,024,069	-
High-Yield Bonds	3,975,717	-
International Bonds	5,061,439	-
Long-Term Bonds	470,266	-
Multi-sector Bonds	2,282,066	-
Convertibles	387,740	-
Target dates 2000-2020	13,925,592	-
Target dates 2025-2035	9,537,509	-
Target dates 2040-2050	13,451,801	-
Stable value fund		
Wrapper contracts	-	402,350
Collective trusts	-	162,420,592
Interest-bearing cash	-	4,144,579
Brokerage account		
Mutual funds	2,562,558	-
Common stock	9,560,462	-
Other	129,306	-
Certificate of deposit	-	108,724
Interest-bearing cash	-	3,555,515
	$ 340,566,400	$ 170,631,760

There were no significant transfers between Level 1 and Level 2 during 2010.

(Continued)

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Fully Benefit-Responsive Investment Contracts: While Plan investments are presented at fair value in the statement of net assets available for benefits, any material difference between the fair value of the Plan's direct and indirect interests in fully benefit-responsive investment contracts and their contract value is presented as an adjustment line in the statement of net assets available for benefits, because contract value is the relevant measurement attribute for that portion of the Plan's net assets available for benefits. Contract value represents contributions made to a contract, plus earnings, less participant withdraws and administrative expenses. Participants in fully benefit-responsive contracts may ordinarily direct the withdrawal or transfer of all or a portion of their investment at contract value. The Plan holds a direct interest in fully benefit-responsive contracts.

Notes Receivable from Participants: Notes receivable from participants are reported at their unpaid principal balance plus any accrued but unpaid interest, with no allowance for credit losses, as repayments of principal and interest are received through payroll deductions and the notes are collateralized by the participants' account balances.

Payment of Benefits: Benefits are recorded when paid.

Risks and Uncertainties: The Plan provides for various investments that, in general, are exposed to various risks, such as interest rate, credit, liquidity and overall market volatility risks. Due to the level of risk and uncertainty associated with certain investments and the sensitivity of certain fair value estimates to changes in valuation assumptions, it is at least reasonably possible that changes in the fair values of investments will occur in the near term and that such changes could materially affect the amounts reported in the statements of net assets available for benefits and the participants' individual account balances.

NOTE 3 - UNAUDITED INFORMATION – CERTIFIED INVESTMENTS AND NOTES RECEIVABLE FROM PARTICIPANTS

Substantially all information pertaining to the Plan's investments and notes receivable from participants included in the financial statements, including the associated investment income (loss) and interest earned on notes receivable from participants, was obtained or derived from information supplied to the plan administrator and certified as complete and accurate by Fidelity Management Trust Company, the trustee of the Plan. This information has not been audited by independent accountants.

(Continued)

NOTE 4 - INVESTMENTS

The following presents the fair value of investments that represent 5% or more of the Plan's net assets available for benefits as of December 31:

	2011	2010
Mutual funds		
Vanguard Inst Index	$ 52,208,711	$ 52,395,768
Stable Value Fund ($166,460,829 and $163,860,639, respectively, after contract value adjustment for fully benefit-responsive contracts)		
Wrapper Contracts		
JP Morgan Chase Bank #ASARGENT-2-07	$ 198,664*	$ 200,381*
Monumental Life Insurance Company #MDA-00787TR	9,185*	64,737*
State Street Bank & Trust Company of Boston #107038	55,081*	-
AIG Financial Products Corp. #944750	-	137,232*
Wrapped Common/Collective Trusts		
Fidelity Intermediate Duration Pool	162,466,576	162,420,592
Interest-bearing cash		
Interest-bearing cash	8,489,589	4,144,579*
Total Stable Value Fund	$ 171,219,095	$ 166,967,521

* Did not meet the 5% threshold on an individual basis and is presented for comparative and informational purposes only.

During 2011, the Plan's investments (including gains and losses on investments bought and sold, as well as held, during the year) depreciated in value as follows:

Mutual funds	$ 20,487,820
Common stocks	1,461,846
Total	$ 21,949,666

(Continued)

NOTE 5 - FULLY BENEFIT-RESPONSIVE INVESTMENT CONTRACTS WITH INSURANCE COMPANIES

The Stable Value Fund ("Fund") is offered exclusively to the Plan and is comprised of fully benefit-responsive investment contracts offered by insurance companies ("Issuers"). The Fund is credited with earnings on the underlying investments and charged for participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investments at contract value. Contract value represents contributions made under the contracts, plus earnings, less participant withdrawals and administrative expenses. There are no reserves against contract values for credit risk of the contract issuers or otherwise.

The contracts specify certain conditions under which distributions from the contracts would be payable at amounts below contract value. Such circumstances include, but are not limited to, plan termination, plan merger, premature contract termination initiated by the employer, and certain other employer-initiated events, such as a sale of a division, plant closure, or lay-off that results in distributions exceeding a set amount. The contracts limit the circumstances under which the Issuers may terminate the contracts.

Examples of circumstances which would allow the Issuer to terminate the contracts include: the Plan's loss of its qualified status, uncured material breaches of responsibilities or material and adverse changes to the provisions of the Plan. If one of these events were to occur, the Issuers could terminate the contracts at amounts less than contract value. Currently, management believes that the occurrence of an event that would cause the Plan to transact contract distributions at less than contract value is not probable.

The crediting interest rates of the contracts are based on agreed-upon formulas with the issuer, as defined in the contract agreements, but cannot be less than 0%. Such interest rates are reviewed on a quarterly basis for resetting. The key factors that influence future interest crediting rates could include the following: the level of market interest rates; the amount and timing of participant contributions, transfers and withdrawals into/out of the contracts; and the duration of the underlying investments backing the contracts. The resulting gains and losses in the fair value of the investment contracts relative to the contract value, if any, are reflected in the Statements of Net Assets Available for Benefits as Adjustment from fair value to contract value for fully benefit-responsive investment contracts.

	2011	2010
Average yields, in the aggregate for the contracts:		
Based on annualized earnings (1)	1.89%	2.10%
Based on interest rate credited to participants (2)	1.84%	1.87%

(1) Computed by dividing the annualized one-day actual earnings of the contracts on the last day of the plan year by the fair value of the contract investments on the same date.

(2) Computed by dividing the annualized one-day earnings credited to participants on the last day of the plan year by the fair value of the contract investments on the same date.

(Continued)

NOTE 6 - TAX STATUS

The Internal Revenue Service has determined and informed the Company by a letter dated July 19, 2011, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the plan administrator believes that the Plan is designed and currently being operated in compliance with requirement of the IRC.

NOTE 7 - PARTY-IN-INTEREST TRANSACTIONS

Parties-in-interest are defined under the Department of Labor Regulations as any fiduciary of the Plan, any party rendering service to the Plan, the employer and certain others.

Certain plan investments are managed by Fidelity Management Trust Company, the Plan's trustee, and are shares of mutual funds offered by Fidelity Investments, an affiliate of the Plan's trustee. Accordingly, these investments qualify as party-in-interest investments. Investment management and trustee fees are paid by the Plan and these expenses are reflected in the financial statements as a reduction of the return on the Plan's investments.

Participants in the Plan are permitted to borrow funds from their vested balance as described in Note 1. These assets qualify as party-in-interest transactions. Notes receivable from participants were $6,537,986 and $5,989,577 at December 31, 2011 and 2010, respectively.

NOTE 8 - PLAN TERMINATION

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of plan termination, participants continue to be 100% vested in their accounts.

NOTE 9 - RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500

The following are reconciliations of net assets available for benefits and changes to net assets available for benefits per the financial statements to the Form 5500:

	December 31,	
	2011	2010
Net assets available for benefits per the financial statements	$ 518,006,376	$ 514,080,855
Adjustment from contract value to fair value for fully benefit-responsive investment contracts (Note 2)	4,758,266	3,106,882
Net assets per the Form 5500	$ 522,764,642	$ 517,187,737

(Continued)

NOTE 9 - RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500 (Continued)

	Year Ended December 31, 2011
Net increase in net assets available for benefits per the financial statements	$ 3,925,521
Prior year change in the difference between contract value and estimated fair value of investments in the Stable Value Fund	1,651,384
Net income per the Form 5500	$ 5,576,905

NOTE 10 - SUBSEQUENT EVENTS

Plan management has evaluated subsequent events for recognition and disclosure through July 25, 2012, which is the date the financial statements were available to be issued.

SUPPLEMENTAL SCHEDULE

SARGENT & LUNDY, L.L.C. SAVINGS INVESTMENT PLAN
SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR)
December 31, 2011

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
Three-Digit Plan Number: 003

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds		
*	Fidelity Investments	FID INTM Government Income Fund	**	$ 793,975
*	Fidelity Investments	FID Emerging Europe, Middle East, and Africa	**	77,946
*	Fidelity Investments	FID Trend Fund	**	170,532
*	Fidelity Investments	FID SEL Computers Fund	**	198,854
*	Fidelity Investments	FID SEL Electronics Fund	**	167,136
*	Fidelity Investments	FID SEL Cons Staples Fund	**	598,325
*	Fidelity Investments	FID Ginnie Mae Fund	**	1,448,012
*	Fidelity Investments	FID Magellan Fund	**	20,264,384
*	Fidelity Investments	FID Contrafund Fund	**	4,905,938
*	Fidelity Investments	FID Equity Income Fund	**	227,923
*	Fidelity Investments	FID Growth Company Fund	**	2,415,036
*	Fidelity Investments	FID Investment Growth Bond Fund	**	310,192
*	Fidelity Investments	FID Growth and Income Fund	**	208,411
*	Fidelity Investments	FID SEL Software Fund	**	604,171
*	Fidelity Investments	FID Intermed Bond Fund	**	399,007
*	Fidelity Investments	FID SEL Air Transprt Fund	**	85,954
*	Fidelity Investments	FID Capital and Income Fund	**	2,539,594
*	Fidelity Investments	FID Value Fund	**	1,374,798
*	Fidelity Investments	FID SEL Gold Fund	**	3,047,889
*	Fidelity Investments	FID SEL Biotech Fund	**	775,987
*	Fidelity Investments	FID SEL Energy Svcs Fund	**	1,465,284
*	Fidelity Investments	FID SEL Insurance Fund	**	34,224
*	Fidelity Investments	FID SEL Retailing Fund	**	169,084
*	Fidelity Investments	FID Govt. Income Fund	**	1,170,954
*	Fidelity Investments	FID SEL Energy Fund	**	2,540,875
*	Fidelity Investments	FID SEL Leisure Fund	**	355,420
*	Fidelity Investments	FID SEL Healthcare Fund	**	747,434
*	Fidelity Investments	FID SEL Technology Fund	**	750,133
*	Fidelity Investments	FID SEL Utilities GR Fund	**	527,452
*	Fidelity Investments	FID SEL Financial Fund	**	172,882
*	Fidelity Investments	FID SEL Defense Fund	**	699,224
*	Fidelity Investments	FID SEL Brokerage Fund	**	163,904
*	Fidelity Investments	FID SEL Chemical Fund	**	781,207
*	Fidelity Investments	FID Independence Fund	**	443,347
*	Fidelity Investments	FID OTC Portfolio Fund	**	385,905
*	Fidelity Investments	FID Overseas Fund	**	109,732
*	Fidelity Investments	FID SEL Small Cap	**	149,251
*	Fidelity Investments	FID SEL Large Cap Value	**	224,465
*	Fidelity Investments	FID SEL Telecomm Fund	**	69,076
*	Fidelity Investments	FID SEL Home Finance Fund	**	11,990
*	Fidelity Investments	FID Leveraged Co. Stk Fund	**	2,907,616
*	Fidelity Investments	FID Europe Fund	**	154,404
*	Fidelity Investments	FID Pacific Basin Fund	**	216,755
*	Fidelity Investments	FID Real Estate Invs Fund	**	1,094,227
*	Fidelity Investments	FID Balanced Fund	**	2,139,942
*	Fidelity Investments	FID Intl Discovery Fund	**	601,358

See Report of Independent Auditors.
(Continued)

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		Mutual Funds (Continued)		
*	Fidelity Investments	FID Telecom & Utilities Fund	**	$ 527,211
*	Fidelity Investments	FID Convertible Sec Fund	**	303,932
*	Fidelity Investments	FID Canada Fund	**	3,502,566
*	Fidelity Investments	FID Puritan Fund K	**	373,113
*	Fidelity Investments	FID Blue Chip Growth Fund	**	1,128,765
*	Fidelity Investments	FID Asset Manager 50% Fund	**	97,255
*	Fidelity Investments	FID Disciplined Equity Fund	**	7,637
*	Fidelity Investments	FID Value Strategy Fund	**	60,457
*	Fidelity Investments	FID Worldwide Fund	**	171,881
*	Fidelity Investments	FID Stock Selector Fund	**	44,587
*	Fidelity Investments	FID Asset Manager 70% Fund	**	29,182
*	Fidelity Investments	FID Emerging Markets Fund	**	1,628,307
*	Fidelity Investments	FID Diversified Intl Fund	**	12,324,441
*	Fidelity Investments	FID Asset Manager 20% Fund	**	178,300
*	Fidelity Investments	FID Dividend Growth Fund	**	591,321
*	Fidelity Investments	FID New Markets Inc. Fund	**	1,695,575
*	Fidelity Investments	FID Focused Stock Fund	**	134,771
*	Fidelity Investments	FID Global Balanced Fund	**	79,316
*	Fidelity Investments	FID Intl Cap Appreciation Fund	**	321,879
*	Fidelity Investments	FID Mid Cap Stock Fund	**	981,892
*	Fidelity Investments	FID Large Cap Stock Fund	**	211,506
*	Fidelity Investments	FID Growth Discovery Fund	**	235,602
*	Fidelity Investments	FID Small Cap Stock Fund	**	835,064
*	Fidelity Investments	FID Europe Cap App Fund	**	84,367
*	Fidelity Investments	FID Nordic Fund	**	181,646
*	Fidelity Investments	FID Asset Manager 85% Fund	**	96,845
*	Fidelity Investments	FID Latin America Fund	**	2,902,284
*	Fidelity Investments	FID Japan Fund	**	50,221
*	Fidelity Investments	FID Japan Smaller Co Fund	**	152,919
*	Fidelity Investments	FID China Region Fund	**	1,679,405
*	Fidelity Investments	FID SEL IT Services Fund	**	113,178
*	Fidelity Investments	FID SEL Med Eq and Sys Fund	**	736,950
*	Fidelity Investments	FID Mega Cap Stock Fund	**	103,479
*	Fidelity Investments	FID Strategic Income Fund	**	1,610,875
*	Fidelity Investments	FID Small Cap Discovery	**	584,432
*	Fidelity Investments	FID Freedom Income Fund	**	65,494
*	Fidelity Investments	FID Freedom 2000 Fund	**	486
*	Fidelity Investments	FID Freedom 2005 Fund	**	5,597
*	Fidelity Investments	FID Freedom 2010 Fund	**	354,301
*	Fidelity Investments	FID Freedom 2015 Fund	**	178,093
*	Fidelity Investments.	FID Freedom 2020 Fund	**	1,081,179
*	Fidelity Investments	FID Freedom 2025 Fund	**	50,988
*	Fidelity Investments	FID Freedom 2030 Fund	**	356,142
*	Fidelity Investments	FID Freedom 2035 Fund	**	20,045
*	Fidelity Investments	FID Freedom 2040 Fund	**	74,352
*	Fidelity Investments	FID Freedom 2045 Fund	**	70,221

See Report of Independent Auditors.
(Continued)

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		Mutual Funds (Continued)		
*	Fidelity Investments	FID Freedom 2050 Fund	**	$ 142,189
*	Fidelity Investments	FID Freedom 2055 Fund	**	1,914
*	Fidelity Investments	FID High Income Fund	**	570,382
*	Fidelity Investments	FID Fifty Fund	**	362,804
*	Fidelity Investments	FID SEL Automotive Fund	**	272,022
*	Fidelity Investments	FID SEL Multimedia Fund	**	104,869
*	Fidelity Investments	FID SEL Medical Del Fund	**	1,162,496
*	Fidelity Investments	FID SEL Banking Fund	**	219,590
*	Fidelity Investments	FID Intl Value	**	4,568
*	Fidelity Investments	FID SEL Constr/House Fund	**	43,117
*	Fidelity Investments	FID SEL Transport Fund	**	565,108
*	Fidelity Investments	FID SEL Natural Gas Fund	**	606,728
*	Fidelity Investments	FID SEL Natural Res Fund	**	1,322,005
*	Fidelity Investments	FID SEL Intl Small Cap Opp	**	27,400
*	Fidelity Investments	FID SEL Environment Fund	**	61,779
*	Fidelity Investments	FID SEL Consumer Discr Fund	**	48,763
*	Fidelity Investments	FID SEL Comm Equip Fund	**	65,811
*	Fidelity Investments	FID SEL Pharmaceutical Fund	**	462,484
*	Fidelity Investments	FID Retire Market Fund	**	67,465
*	Fidelity Investments	FID Inflat Prot Bond Fund	**	2,058,187
*	Fidelity Investments	FID SEL Wireless Fund	**	188,494
*	Fidelity Investments	FID Equity Dividend Income	**	113,194
*	Fidelity Investments	FID Emerging Asia	**	958,000
*	Fidelity Investments	FID Focused High Inc Fund	**	43,980
*	Fidelity Investments	FID Real Estate Inc Fund	**	268,574
*	Fidelity Investments	FID Value Discovery	**	168,106
*	Fidelity Investments	FID Blue Chip Value	**	204,939
*	Fidelity Investments	FID NASDAQ Comp Indx	**	114,444
*	Fidelity Investments	FID Strat Div & Inc	**	163,485
*	Fidelity Investments	FID Intl Real Estate	**	276,681
*	Fidelity Investments	FID Small Cap Growth	**	406,918
*	Fidelity Investments	FID Small Cap Value	**	208,173
*	Fidelity Investments	FID Mid Cap Value	**	46,912
*	Fidelity Investments	FID Large Cap Growth	**	303,172
*	Fidelity Investments	FID Mid Cap Growth	**	46,183
*	Fidelity Investments	FID Float Rt Hi Inc	**	184,814
*	Fidelity Investments	FID Total Bond	**	155,548
*	Fidelity Investments	FID Growth Strategies	**	4,716,107
*	Fidelity Investments	FID Globa Stratgy	**	13,140
*	Fidelity Investments	FID Mortgage Sec	**	38,063
*	Fidelity Investments	FID Four in One Idx	**	72,894

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		Mutual Funds (Continued)		
*	Fidelity Investments	FID SEL Materials	**	$ 684,703
*	Fidelity Investments	FID SEL Industrial Equip	**	215,705
*	Fidelity Investments	FID SEL Industrials	**	274,719
*	Fidelity Investments	FID Large Cap Growth Enhanced Index	**	7,060
	The Vanguard Group	Vanguard LS Growth Fund	**	585,884
	The Vanguard Group	Vanguard LS Income Fund	**	684,679
	The Vanguard Group	Vanguard LS Conservative Growth Fund	**	612,968
	The Vanguard Group	Vanguard LS Moderate Growth Fund	**	361,641
	The Vanguard Group	Vanguard Explorer Adm Fund	**	1,083,790
	The Vanguard Group	Vanguard Target Ret Inc Fund	**	912,587
	The Vanguard Group	Vanguard Target Ret 2005 Fund	**	1,123,096
	The Vanguard Group	Vanguard Target Ret 2010 Fund	**	2,957,732
	The Vanguard Group	Vanguard Target Ret 2015 Fund	**	6,140,161
	The Vanguard Group	Vanguard Target Ret 2020 Fund	**	5,116,738
	The Vanguard Group	Vanguard Target Ret 2025 Fund	**	3,799,209
	The Vanguard Group	Vanguard Target Ret 2030 Fund	**	3,518,564
	The Vanguard Group	Vanguard Target Ret 2035 Fund	**	3,126,033
	The Vanguard Group	Vanguard Target Ret 2040 Fund	**	3,768,159
	The Vanguard Group	Vanguard Target Ret 2045 Fund	**	5,528,654
	The Vanguard Group	Vanguard Target Ret 2050 Fund	**	7,201,873
	The Vanguard Group	Vanguard Infl Prot Adm Fund	**	2,649,244
	The Vanguard Group	Vanguard Inst Index	**	52,208,711
	The Vanguard Group	Vanguard Total Bond Market Index	I**	3,370,678
	The Vanguard Group	Vanguard Total Intl Stock Market Index	**	811,731
	The Vanguard Group	Vanguard Total Stock Market Index	**	1,379,167
	Franklin Templeton Investments	Mutual Global Discovery Z Fund	**	708,000
	Franklin Templeton Investments	Mutual Shares CL Z Fund	**	258,133
	PIMCO Global Advisors	PIMCO Tot Return Inst Fund	**	22,207,101
	PIMCO Global Advisors	PIMCO Glbbnd Ad Unhdgd Fund	**	2,081,583
	PIMCO Global Advisors	PIMCO High Yield Adm Fund	**	1,119,018
	PIMCO Global Advisors	PIMCO Lt U.S. Govt Adm Fund	**	2,413,249
	Janus Funds	Janus Flexible Bond Fund	**	787,418
	Janus Funds	Janus Fund	**	95,568
	Janus Funds	Janus Twenty Fund	**	469,225
	Janus Funds	Janus Worldwide Fund	**	191,564
	Janus Funds	Janus Overseas I Fund	**	1,367,512
	Janus Funds	Janus Adv Forty S Fund	**	227,217
	Janus Funds	Janus Research Fund	**	232,981
	Janus Funds	Perkins Small Cap Vl Is	**	3,456,806
	Janus Funds	Janus Balanced Fund	**	275,907
	Janus Funds	Janus Enterprise Fund	**	349,752
	AIM Investments	AIM Dynamics Inv Fund	**	71,754
	AIM Investments	AIM Sm Cap Grth Inv Fund	**	35,685
	AIM Investments	AIM Constellation A Fund	**	18,898
	AIM Investments	AIM Charter Inst Fund	**	57,998
	AIM Investments	AIM Midcap Core Eq I Fund	**	251,620

See Report of Independent Auditors.
(Continued)

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		Mutual Funds (Continued)		
	AIM Investments	AIM Divsf Divd Inv Fund	**	$ 279,758
	AIM Investments	AIM Gbl Sm&Mdcp Gr A	**	40,228
	Dreyfus	Drey Mid-Cap Growth I	**	121,941
	Dreyfus	Drey Lt Growth & Income Inv	**	22,624
	Franklin Templeton Investments	Templeton Foreign Sm Co A Fund	**	173,735
	Franklin Templeton Investments	Templeton Foreign A Fund	**	216,211
	Franklin Templeton Investments	Templeton Dev Mkts A Fund	**	745,667
	Franklin Templeton Investments	Templeton Growth A Fund	**	370,326
	Franklin Templeton Investments	Templeton Global Bond A Fund	**	3,677,097
	Franklin Templeton Investments	Templeton World A Fund	**	202,236
	Franklin Templeton Investments	Franklin Small-Mid Cap Growth A Fund	**	76,159
	Morgan Stanley Investment Mgmt	MSIF Sm Co Growth P Fund	**	51,100
	Morgan Stanley Investment Mgmt	MSIF Emerging Mkts P Fund	**	222,509
	Morgan Stanley Investment Mgmt	MSIF Intl Equity P Fund	**	104,153
	Neuberger Berman	NB Focus Trust Fund	**	33,908
	Neuberger Berman	NB Genesis – INST CL	**	1,386,988
	Neuberger Berman	NB MDCP Grth Trust	**	59,563
	Spartan	Spartan Total Mkt Index Fund	**	2,350,636
	Spartan	Spartan Extnd Mkt Index Fund	**	7,774,399
	Spartan	Spartan Intl Index Fund	**	15,294,331
	Spartan	Spartan US Bond Index	**	3,092,481
	American Century Investments	Am Cent Ultra Inv Fund	**	63,890
	American Century Investments	Am Cen Lg Co Val Inv Fund	**	125,590
	American Century Investments	Am Cent Sm Comp Inv Fund	**	178,913
	Archer Funds	ABF Balanced PA Fund	**	190,591
	Archer Funds	ABF Large Cap Value	**	804,494
	Archer Funds	ABF Intl Equity PA Fund	**	117,613
	Baron Funds	Baron Growth Fund	**	1,811,284
	Baron Funds	Baron Asset Fund	**	287,485
	Calvert	Calvert SIF Balanced A Fund	**	516
	Calvert	Calvert SIF Equity A	**	400
	Calvert	Calvert Cap Acc A	**	56,011
	Calvert	Calvert Intl Equity A	**	3,293
	First Pacific Advisors	FPA Crescent Fund	**	1,821,945
	Rice Hall James	RHJ Micro Cap Fund	**	131,367
	Ariel Mutual Funds	Ariel Fund	**	592,284
	Ariel Mutual Funds	Ariel Appreciation Fund	**	349,835
	Neuberger Berman	NB Core Bond Inv Fund	**	26,576
	Alger	Alger Cap Apprec I Fund	**	405,366
	Alger	Alger Midcap Growth I Fund	**	359,352
	Alger	Alger Small Cap I Fund	**	139,807
	Morgan Stanley Investment Mgmt	MSIF Capital Growth P	**	45,784
	Morgan Stanley Investment Mgmt	MSIF Balanced P Fund	**	5,236
	Morgan Stanley Investment Mgmt	MSIF Active Intl P Fund	**	15,631
	Morgan Stanley Investment Mgmt	MSIF CP FX Inc P Fund	**	49,508
	Morgan Stanley Investment Mgmt	MSIF Midcap Growth I Fund	**	1,584,525

See Report of Independent Auditors.
(Continued)

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		Mutual Funds (Continued)		
	Domini Social Investors	Domini Social Equity Fund	**	$ 54,749
	T. Rowe Price	TRP Growth Stock Fund	**	1,459,147
	DWS Scudder	DWS International S Fund	**	34,077
	DWS Scudder	DWS Global Small Cap Growth S Fund	**	77,950
	DWS Scudder	DWS Small Cap Growth S Fund	**	31,446
	DWS Scudder	DWS Core Equity	**	12,355
	TCW Funds	TCW Sm Cap Growth N Fund	**	31,660
	Neuberger Berman	NB Partners Trust Fund	**	365,987
	Neuberger Berman	NB Socially Resp Tr Fund	**	14,682
	Oakmark Funds	Oakmark Select I Fund	**	583,120
	Oakmark Funds	Oakmark Fund I Fund	**	456,143
	Oakmark Funds	Oakmark Eq & Inc I Fund	**	2,011,441
	Managers Investment Group	Managers C Capital Appreciation Fund	**	78,126
	Managers Investment Group	Managers Mid Cap Value Fund	**	209,428
	Allianz Global Investors	Allnz Small-Mid Cap Value AD Fund	**	1,908,204
	Cohen & Steers Capital Mgmt	Cohen & Steers Rlty Fund Shs	**	2,943,262
	Wells Fargo Advantage Funds	WFA Discovery Inv Fund	**	121,029
	Wells Fargo Advantage Funds	WFA Growth Inv Fund	**	1,189,415
	Wells Fargo Advantage Funds	WFA Common Stock Z Fund	**	141,344
	Wells Fargo Advantage Funds	WFA Opportunity Inv Fund	**	107,261
	Wells Fargo Advantage Funds	WFA Lg Cap Growth Inv Fund	**	15,867
	Wells Fargo Advantage Funds	WFA Govt Security Inv Fund	**	307,852
	Wells Fargo Advantage Funds	WFA Small Cap Val Inv	**	1,500,696
	USAA Investments	USAA Cornerstone Fund	**	4,166
	USAA Investments	USAA GNMA Trust Fund	**	148,595
	USAA Investments	USAA Income Fund	**	354,181
	USAA Investments	USAA Income Stock Fund	**	22,813
	USAA Investments	USAA International Fund	**	150,621
	USAA Investments	USAA Growth Fund	**	6,374
	USAA Investments	USAA Emerging Mkts Fund	**	115,685
	American Funds	AF Washington Mutl A Fund	**	2,102,222
	Artisan Funds	Artisan Intl Fund	**	253,363
	Artisan Funds	Artisan Mid Cap Inv Fund	**	424,436
	Managers Investment Group	Managers Special Eq Fund	**	70,492
	Managers Investment Group	Managers Bond Fund	**	672,201
	RS Funds	RS Smaller Co Growth A Fund	**	58,534
	Lord Abbett	LD Abbett Mid Cap Value A Fund	**	241,219
	Legg Mason	LM Value Trust FI CL Fund	**	288,715
	Aberdeen Asset Management	ABDN Global Fx Inc IS	**	63,502
	Aberdeen Asset Management	ABDN US Equity II A	**	144,116
	Royce Funds	Royce Low Pr Stk Inv Fund	**	495,299
	Old Mutual Capital	Oldmut TSW MidCap Value Z	**	11,527
	Old Mutual Capital	Oldmut Strat Small Co Z	**	4,591
	Old Mutual Capital	Oldmut Focused Z	**	86,668
	Van Kampen Investments	VK Growth & Income A Fund	**	408,835

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(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Mutual Funds (Continued)		
	Loomis Sayles funds	Loomis Sm Cap Value I Fund	**	$ 91,201
	West Asset	Core Bond FI Fund	**	41,269
*	Fidelity Investments	Fidelity New Millenium	**	22,335
*	Fidelity Investments	Fidelity Large Cap Core Enhanced Index	**	9,378
*	Fidelity Investments	Fidelity Large Cap Value Enhanced Index	**	51,724
*	Fidelity Investments	Fidelity Asset Manager 30%	**	49,768
*	Fidelity Investments	Fidelity Asset Manager 60%	**	2,769
*	Fidelity Investments	Fidelity Intl Growth	**	21,321
*	Fidelity Investments	Fidelity Small Cap Enhanced Index	**	14,811
*	Fidelity Investments	Fidelity Mid Cap Enhanced Index	**	14,070
	Janus Funds	Perkins Mid Cap Value	**	1,859,349
	Archer Funds	ABF Small Cap Value	**	355,136
	Neuberger Berman	NB Guardian Trust	**	534
	John Hancock	JH Small Company I	**	237,231
	TCW Funds	TCW Select Equity N	**	166,616
	DWS Scudder	DWS Strategic Value IS	**	40,929
*	Fidelity Investments	FID 130/30 Large Cap	**	2,456
*	Fidelity Investments	FID Cap Appreciation	**	375,304
*	Fidelity Investments	FID Export & Multi K	**	385,189
*	Fidelity Investments	FID Fund K	**	340,641
*	Fidelity Investments	FID Low Priced Stock K	**	2,207,259
				327,916,277
		Brokerage Account		
*	Fidelity Mgmt. Trust Co.	Brokerage Account	**	17,091,284
		Stable Value Fund		
	Wrapper Contracts			
	Monumental Life Insurance Co.	Wrapper contract #MDA00379TR, Rate of 4.725%	**	9,185
	JP Morgan Chase Bank	Wrapper contract #ASARGENT-2-07 Rate of 4.725%	**	198,664
	State Street Bank & Trust Company of Boston	Wrapper contract #107038, Rate of 4.725%	**	55,081
	Collective Trust			
*	Fidelity Mgmt. Trust Co.	CCT - Fidelity Intermediate Duration Pool	**	162,466,576

SARGENT & LUNDY, L.L.C. SAVINGS INVESTMENT PLAN
SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR)
December 31, 2011

Name of Plan Sponsor: Sargent & Lundy, L.L.C.
Employer Identification Number: 36-1729848
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(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Interest Bearing Cash		
*	Fidelity Mgmt. Trust Co.	Interest-bearing cash	**	$ 8,489,589
				171,219,095
		Participant Loans		
*	Participant Loans	Interest rates ranging from 3.25% to 8.25%	**	6,537,986
				$ 522,764,642

* Denotes party-in-interest.
** Cost information is not required for participant-directed investments and, therefore, is not included.

See Report of Independent Auditors.