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

2013

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

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
DUKE ENERGY RETIREMENT SAVINGS PLAN

1b Three-digit plan number (PN) ▶ 002

1c Effective date of plan 07/01/1959

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

DUKE ENERGY CORPORATION

550 SOUTH TRYON STREET DEC 38A
CHARLOTTE, NC 28202

2b Employer Identification Number (EIN)
20-2777218

2c Sponsor's telephone number
704-382-5289

2d Business code (see instructions)
221100

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.	10/13/2014	THOMAS SILINSKI
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	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

Preparer's name (including firm name, if applicable) and address; include room or suite number. (optional)

Preparer's telephone number (optional)

3a Plan administrator's name and address ☐ Same as Plan Sponsor Name ☐ Same as Plan Sponsor Address

DUKE ENERGY BENEFITS COMMITTEE

550 SOUTH TRYON STREET DEC 38D
CHARLOTTE, NC 28203

3b Administrator's EIN 20-2777218

3c Administrator's telephone number 704-382-5289

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**	21277
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**	25344
b	Retired or separated participants receiving benefits	**6b**	156
c	Other retired or separated participants entitled to future benefits	**6c**	7134
d	Subtotal. Add lines **6a**, **6b**, and **6c**	**6d**	32634
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	60
f	Total. Add lines **6d** and **6e**.	**6f**	32694
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	32027
h	Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	2
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 Characteristics Codes in the instructions:
2E 2F 2G 2I 2J 2K 2O 2H 2S 2R 2T

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

9a Plan funding arrangement (check all that apply)

(1)	☐	Insurance
(2)	☐	Code section 412(e)(3) insurance contracts
(3)	☒	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)	☒	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)	☒	**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)	☒		**H** (Financial Information)
(2)	☐		**I** (Financial Information – Small Plan)
(3)	☐	0	**A** (Insurance Information)
(4)	☒		**C** (Service Provider Information)
(5)	☒		**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.**	**2013** **This Form is Open to Public Inspection.**

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
DUKE ENERGY CORPORATION

D Employer Identification Number (EIN)
20-2777218

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

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

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

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

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

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

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

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

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

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

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

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	NONE	1529671	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 71 37 65	NONE	1502329	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.
BROKERAGELINK 04-2647786	SEE ATTACHED DOCUMENT FOR ALL FEES RELATED TO FUND

(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.

(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

2013

This Form is Open to Public Inspection.

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

C Plan or DFE sponsor's name as shown on line 2a of Form 5500
DUKE ENERGY CORPORATION

D Employer Identification Number (EIN)
20-2777218

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: DUKE ENERGY RETIRE. SAVINGS PLAN MT

b Name of sponsor of entity listed in (a): DUKE ENERGY CORPORATION

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)
20-2777218-006	M	0

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)

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

2013

This Form is Open to Public Inspection

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
DUKE ENERGY CORPORATION

D Employer Identification Number (EIN)
20-2777218

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)	1686000	1911000
(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)		
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)	0	1903025000
(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)	81313000	120884000
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)	3935435000	0
(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)	0	4061652000
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	0	618956000

		(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	4018434000	6706428000
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	4018434000	6706428000

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)	86892000	
(B) Participants	2a(1)(B)	142773000	
(C) Others (including rollovers)	2a(1)(C)	4665000	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		234330000
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)		
(B) U.S. Government securities	2b(1)(B)		
(C) Corporate debt instruments	2b(1)(C)		
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)	3354000	
(F) Other	2b(1)(F)		
(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		3354000
(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
(B) Common stock	2b(2)(B)	45216000	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	16201000	
(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		61417000
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)		
(B) Aggregate carrying amount (see instructions)	2b(4)(B)		
(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		0
(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
(B) Other	2b(5)(B)	96409000	
(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		96409000

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		10201000
(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)		528409000
c Other income	2c		30747000
d Total income. Add all **income** amounts in column (b) and enter total	2d		964867000
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	350192000	
(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)		350192000
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: **(1)** Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)	1502329	
(3) Investment advisory and management fees	2i(3)	1529671	
(4) Other	2i(4)		
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		3032000
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		353224000
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		611643000
l Transfers of assets:			
(1) To this plan	2l(1)		2076351000
(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) [X] Unqualified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

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

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

(1) Name: MCCONNELL & JONES LLP **(2)** EIN: 76-0488832

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 lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 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	

			Yes	No	Amount
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		25000000
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			

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)

5c If the plan is a defined benefit plan, is it covered under the PBGC insurance program (see ERISA section 4021)? ..... ☐ Yes ☐ No ☐ Not determined

Part V Trust Information (optional)

6a Name of trust	**6b** Trust's EIN

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

2013

This Form is Open to Public Inspection.

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
DUKE ENERGY CORPORATION

D Employer Identification Number (EIN)
20-2777218

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 lines 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 lines 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 lines 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 lines 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 lines 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 lines 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 line 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 lines (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 line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

Duke Energy
Retirement Savings Plan

Independent Auditors' Report
and Financial Statements

December 31, 2013 and 2012

Duke Energy Retirement Savings Plan

Table of Contents

December 31, 2013 and 2012

Independent Auditors' Report 1

Financial Statements:

Statements of Net Assets Available for Benefits as of December 31, 2013 and 2012 3

Statement of Changes in Net Assets Available for Benefits For the Year Ended December 31, 2013 4

Notes to Financial Statements 5 – 16

Supplementary Information:

Form 5500, Schedule H, Part IV, Line 4i—Schedule of Assets (Held at End of Year) as of December 31, 2013 17

NOTE: All other schedules described by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, have been omitted because they are not applicable.

McCONNELL & JONES LLP
CERTIFIED PUBLIC ACCOUNTANTS

Independent Auditors' Report

To the Benefits Committee of Duke Energy Corporation and Participants in the
Duke Energy Retirement Savings Plan

Report on the Financial Statements

We have audited the accompanying financial statements of the Duke Energy Retirement Savings Plan (the "Plan"), which comprise the Statements of Net Assets Available for Benefits as of December 31, 2013 and 2012, and the related Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2013, and the related Notes to Financial Statements.

Plan Management's Responsibility for the Financial Statements

Plan management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America ("GAAP"); this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with the auditing standards generally accepted in the United States of America ("GAAS"). Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Plan's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by Plan management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2013 and 2012, and the

3040 Post Oak Blvd., Suite 1600
Houston, TX 77056
Phone: 713.968.1600
Fax: 713.968.1601

WWW.MCCONNELLJONES.COM

changes in net assets available for benefits for the year ended December 31, 2013, in accordance with GAAP.

Report on Supplementary Information

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplementary information listed in the table of contents is presented for the purpose of additional analysis and is not a required part of the basic financial statements but is supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended. Such information is the responsibility of Plan management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or the financial statements themselves, and other additional procedures in accordance with GAAS. In our opinion, the information is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

McConnell & Jones LLP

Houston, Texas
June 18, 2014

Duke Energy Retirement Savings Plan
Statements of Net Assets Available for Benefits
December 31, 2013 and 2012
(In thousands)

	2013	2012
Assets		
Investments, at fair value		
Participant directed investments	$6,583,633	$ —
Plan interest in Duke Energy Retirement Savings Plan Master Trust	—	3,935,435
Receivables		
Notes receivable from participants	120,884	81,313
Employer's contributions	1,911	1,686
Total receivables	122,795	82,999
Net assets, at fair value	6,706,428	4,018,434
Adjustment from fair value to contract value for interest in fully benefit-responsive investment contracts	(17,664)	(14,512)
Net assets available for benefits	$ 6,688,764	$4,003,922

See Notes to Financial Statements.

Duke Energy Retirement Savings Plan
Statement of Changes in Net Assets Available for Benefits
Year Ended December 31, 2013
(In thousands)

Additions to net income attributed to:	
Investment income	
Net appreciation in fair value of investments	$ 662,614
Interest and dividends	61,417
Total investment income	724,031
Interest income on notes receivable from participants	3,354
Contributions	
Participants'	142,773
Employer's	86,892
Participants' rollover	4,665
Total contributions	234,330
Total additions	961,715
Deductions from net assets attributed to:	
Benefits paid to participants	(350,192)
Administrative fees	(3,032)
Total deductions	(353,224)
Net increase prior to transfers	608,491
Transfer from Progress Energy 401(k) Savings & Stock Ownership Plan	2,076,351
Net increase	2,684,842
Net assets available for benefits, beginning of year	4,003,922
Net assets available for benefits, end of year	$6,688,764

See Notes to Financial Statements.

1. Description of the Plan

The following description of the Duke Energy Retirement Savings Plan (the "Plan") is provided for general information purposes only. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

Participation and Purpose

The Plan is a defined contribution plan sponsored by Duke Energy Corporation ("Duke Energy"). Duke Energy and each of its affiliated companies that is at least 80% owned and that participate in the Plan are collectively referred to as Participating Companies. The Plan is administered by the Duke Energy Benefits Committee ("Benefits Committee") and trusteed by the Fidelity Management Trust Company ("Fidelity").

The purpose of the Plan is to provide an opportunity for eligible employees to enhance their long-range financial security through employee contributions, matching contributions from Participating Companies, and investment among certain investment funds, one of which provides indirect ownership in Duke Energy common stock. The Plan is, in part, an employee stock ownership plan and is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA").

Generally, employees of a Participating Company are eligible to enter and participate in the Plan if they 1) have attained the age of eighteen, 2) are paid on the Participating Company's U. S. payroll system, and 3) are non-union (unless agreed to in a collective bargaining agreement).

Contributions

Duke Energy automatically enrolls new full time employees eligible for the Plan. The contributions made to the Plan on the employee's behalf will be invested in one or more funds selected in accordance with procedures established by the Plan Administrator. If an employee chooses not to participate, Fidelity, the recordkeeper must be contacted by the employee to change the deferral rate to 0%.

Participants may elect to contribute (subject to certain limitations) in the form of pre-tax deferrals, Roth 401(k) contributions, and/or after-tax contributions up to 75% of eligible earnings per pay period without regard to years of service. Various provisions of the Internal Revenue Code ("IRC") may limit the deferrals of some highly compensated employees. All deferrals are exempt, up to the allowed maximum, from federal and state income tax withholding in the year they are deferred, but are subject to payroll taxes. Participant deferrals are intended to satisfy the requirements of Section 401(k) of the IRC.

Duke Energy generally matches 100% of the first 6% of pre-tax and/or Roth 401(k) contributions from the employee's eligible compensation. A different matching contribution formula may apply to certain groups of employees covered by a collective bargaining agreement. Participant after-tax contributions and matching contributions are intended to satisfy the requirements of Section 401(m) of the IRC.

Participants age 50 or older by the end of the year, may contribute an additional pre-tax and/or Roth 401(k) contribution amount over and above the IRC limits each year. For 2013, the IRC allowed participants age 50 or older to contribute up to $5,500 over and above the $17,500 pre-tax and/or

Roth 401(k) contribution limit. Duke Energy does not provide a base company match on these additional contributions.

Rollover Contributions to the Plan

Rollover contributions represent amounts recorded when participants elect to contribute amounts to their Plan accounts from other eligible, tax-qualified retirement plans or qualified individual retirement accounts. Rollover contributions of approximately $4,665,000 were made to the Plan in 2013.

Investments

Participants may invest their Plan accounts in any or all of the core investment funds offered in the Plan. These core investment funds are institutional funds unavailable to investors outside of the Plan. The value of an account is updated each business day. As of December 31, 2013, 19 funds were offered for investment.

The Plan offers a brokerage option, BrokerageLink, whereby participants can elect to invest their Plan accounts in publicly traded securities (excluding Duke Energy securities) and mutual funds not offered directly by the Plan.

The Plan also offers an investment advisory services ("Professional Management") program through the independent investment advice and management services provider, Financial Engines Advisors, LLC. Participants in the Professional Management program are charged an annual fee of .50% on their average account balance. Participants may cancel their participation in the Professional Management program at any time without penalty.

Participant Accounts

Individual accounts are maintained for each Plan participant. Each participant's account is credited with the participant's contributions, the Participating Company's contributions, and allocations of Plan earnings and charged with benefit payments, allocations of Plan losses, and administrative expenses. Allocations are based on participant elections and earnings and/or account balances, as defined in the Plan document.

The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account. The selection from available investment funds is the sole responsibility of each participant, and the Plan is intended to satisfy the requirements of Section 404(c) of ERISA. A participant may elect or change investment funds and/or the contribution allocation percentage among funds at any time.

Vesting and Distribution

A participant generally is 100% vested in their Plan account. The Plan provides for several different types of in-service withdrawals, including hardship and age 59 $^{1}/2$ withdrawals, and withdrawals of rollover and after-tax accounts at any time. A hardship distribution must comply with Section 401(k) of the IRC.

Forfeitures

Generally, upon termination of employment, participants' nonvested balances are forfeited. Such forfeitures can be applied to reduce employer contributions or Plan administrative expenses. At

December 31, 2013 and 2012, forfeitures of $535,931 and $563,188, respectively, were included in Plan assets. No forfeited nonvested participant balances were applied to reduce employer contributions in 2013 or 2012.

Payment of Benefits

Upon termination of employment, including retirement, death or disability, a participant or, if the participant is deceased, his or her beneficiary, may request the distribution of all or a portion of the balance of the participant's Plan account. Distributions are made as soon as practicable after the occasion for the distribution, except that a participant (or spouse beneficiary) may elect that a distribution be delayed until no later than April 1 of the calendar year following the calendar year in which the participant attains age 70 1/2. A non-spouse beneficiary of a deceased participant may elect that a distribution be delayed for up to five years following the date of death. Distributions are paid in a lump sum for vested benefits of $1,000 or less.

Notes Receivable From Participants

Participants may borrow, with some limitations, from their accounts a minimum of $1,000 up to a maximum equal to the lesser of (i) $50,000 minus the highest outstanding loan balance during the 12-month period prior to the new loan, or (ii) 50% of their vested account balances. Loans are to be repaid within 58 months, or up to 15 years for the purchase of a primary residence, through regular payroll deductions (and, following termination of employment, as prescribed by the Benefits Committee). The loan is secured by 50% of the balance in the participant's Plan account at the issuance of the loan and bears interest at a rate of 1% more than the prime interest rate in effect at the issuance of the loan, as determined by the Benefits Committee. Principal and interest is paid ratably through payroll deductions (and, following termination of employment, as prescribed by the Benefits Committee). Loan receipts will be reinvested based on the participant's investment election for employee contributions at the time of repayment.

Plan Merger

Effective at the close of business on December 31, 2013, the Progress Energy 401(k) Savings & Stock Ownership Plan was merged into the Plan. As a result, Progress Energy 401(k) Savings & Stock Ownership Plan assets totaling approximately $2,076 million were transferred into the Plan on December 31, 2013.

Effective at the close of business on December 31, 2012, the Duke Energy Retirement Savings Plan for Legacy Cinergy Union Employees (IBEW 1393) and the Duke Energy Retirement Savings Plan for Legacy Cinergy Union Employees (Midwest) were merged into the Plan. Duke Energy Retirement Savings Plan for Legacy Cinergy Union Employees (IBEW 1393) assets totaling approximately $205 million and Duke Energy Retirement Savings Plan for Legacy Cinergy Union Employees (Midwest) assets totaling approximately $347 million were transferred to the Plan on December 31, 2012.

Employees participating in the merged plans automatically became participants in the Plan and are entitled to receive accrued benefits immediately after the merger that are equal to their accrued benefits under the Plan immediately prior to the effective date of the merger.

Plan Termination

Duke Energy expects and intends to continue the Plan indefinitely, but has the right under the Plan to amend, suspend or terminate the Plan subject to the provisions set forth in ERISA. In the event of termination of the Plan, the net assets of the Plan would be distributed to participants based on their Plan accounts.

2. Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements have been prepared on an accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America ("US GAAP").

Use of Estimates

The preparation of financial statements in conformity with US GAAP requires Plan management to make estimates and assumptions that affect the reported amounts of net assets available for benefits and changes therein. Actual results could differ from those estimates. The Plan invests in various securities which are exposed to various risks, such as interest rate, credit, and overall market volatility. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the financial statements.

Investment Valuation and Income Recognition

Investments are reported at fair value except for the fully benefit-responsive investment contract, which is stated at contract value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 8 for discussion of fair value measurements.

Investment contracts held by a defined-contribution plan are required to be reported at fair value. However, contract value is the relevant measurement attribute for that portion of the net assets available for benefits of a defined-contribution plan attributable to fully benefit-responsive investment contracts because contract value is the amount participants would receive if they were to initiate permitted transactions under the terms of the Plan. The Statements of Net Assets Available for Benefits present the fair value of the Plan's investment contracts as well as the adjustment from fair value to contract value for the fully benefit-responsive investment contracts, and the Statement of Changes in Net Assets Available for Benefits is prepared on a contract value basis for the fully benefit-responsive investment contracts. Contract value represents contributions and reinvested income, less any withdrawals plus accrued interest, because these investments have fully benefit-responsive features.

The Duke Energy Common Stock Fund is comprised of shares of Duke Energy common stock as well as cash and cash equivalents to facilitate execution of daily transactions on a unitized basis. Duke Energy common stock is valued at its closing market price reported on the New York Stock Exchange.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis and dividends are recorded on the ex-dividend date. Management fees and operating expenses charged to the Plan for investments were deducted from income earned on a daily basis and were not separately reflected. Consequently, management fees and operating expenses are reflected as a reduction of investment return for such investments.

Notes Receivable From Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. No allowance for credit losses has been recorded as of December 31, 2013 and 2012. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Payment of Benefits

Benefits paid to participants are recorded when paid.

Administrative Expenses

A portion of administrative expenses of the Plan are paid by Duke Energy.

3. Investments

The Plan was a participant in the Duke Energy Retirement Savings Plan Master Trust ("RSP Master Trust") prior to the plan merger effective at the close of business on December 31, 2012 (see Note 1) with the following Duke Energy sponsored plans, whose investments were also held in the RSP Master Trust prior to the plan merger:

The Duke Energy Retirement Savings Plan for Legacy Cinergy Union Employees (IBEW 1393), which covered union employees of Cinergy Corp.'s subsidiaries represented by the International Brotherhood of Electrical Workers, Local 1393.

The Duke Energy Retirement Savings Plan for Legacy Cinergy Union Employees (Midwest), which covers union employees of Cinergy Corp. and subsidiaries represented by the Utility Workers Union of America, Local 600, The International Brotherhood of Electrical Workers, Local 1347 and Local 352, The United Steelworkers of America, Local 12049 and Local 54-106, The Employees' Representation Association, and UNITE HERE, Local 1995.

As of December 31, 2012, the Plan's net assets represented 100% of the net assets of the RSP Master Trust. The RSP Master Trust was established on January 1, 2008 for certain defined contribution 401(k) plans sponsored by Duke Energy.

The fair value of individual investments that represent 5% or more of the Plan's net assets available for benefits as of December 31, 2013 and 2012 are as follows (in thousands):

	2013	2012
* Duke Energy Common Stock Fund	$1,903,025	$1,218,468
Stable Value Fund	618,956	381,439
US Equity S&P 500 Index Fund	1,427,099	392,742
US Equity Large Cap Value Fund	—***	268,058

	2013	2012
Non-US Equity Blend Fund	359,933	151,656**
Fixed Income Blend Fund	317,344**	210,047

*Denotes a party-in-interest.
** Represents less than 5% of net assets available for benefits as of this date.
*** After the close of business on December 31, 2013, the US Equity Large Cap Value Fund was removed from the Plan's investment fund options and the fund's assets were transferred to the US Equity S&P 500 Index Fund.

During the year ended December 31, 2013, the Plan's investments (including gains and losses on investments bought and sold, as well as held during the year) appreciated in value as follows (in thousands):

Duke Energy Common Stock Fund	$96,409
Institutional funds	482,580
Mutual funds	45,829
Non-employer common stock	30,747
Stable value fund	7,049
Total net appreciation in fair value of investments	$662,614

4. Exempt Party-in-Interest Transactions

Fidelity is the Trustee for all Plan investments, as defined by the Plan. Fidelity invests the Duke Energy Common Stock Fund in shares of Common Stock. Additionally, a portion of the Duke Energy Common Stock Fund and certain other core investment funds offered in the Plan is maintained in cash. Fidelity administers the cash at the direction of Duke Energy or the respective fund managers, and therefore, such transactions qualify as party-in-interest transactions. Transactions pertaining to Fidelity funds held in individual participant BrokerageLink accounts also qualify as party-in-interest transactions.

5. Federal Income Tax Status

The Internal Revenue Service ("IRS") has determined and informed Duke Energy by a letter dated September 27, 2013, that the Plan is qualified and the related trust is exempt from federal income tax under the provisions of Section 501(a) of the IRC. The Plan is intended to be tax-qualified under Section 401(a) of the Internal Revenue Code ("IRC") of 1986, as amended. The Plan has been amended since receiving the determination letter. However, the Plan administrator and the Plan's legal counsel believe the Plan is currently designed and being operated in compliance with the applicable requirements of the IRC and the Plan and the related trust continue to be tax exempt. Therefore, no provision for income taxes has been included in the Plan's financial statements.

US GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. There are no uncertain tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is not currently under audit by any taxing jurisdictions. Plan management believes it is no longer subject to income tax examination for years prior to 2010.

6. Investment Risk

Investment securities, in general, are exposed to various risks, such as interest rate, credit and overall market volatility risks. Further, due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the accompanying Statements of Net Assets Available for Benefits.

The Plan has invested a significant portion of its assets in the Duke Energy Common Stock Fund. This investment in the Duke Energy Common Stock Fund approximates 28% and 30% of the Plan's net assets available for benefits as of December 31, 2013 and 2012, respectively. As a result of this concentration, any significant fluctuation in the market value of the Duke Energy Common Stock Fund could affect individual participant accounts and the net assets of the Plan.

7. Benefit-Responsive Investments

The Plan has interest in a Stable Value Fund that has investments in fixed income securities and bond funds and may include derivative instruments, such as futures contracts and swap agreements. The Stable Value Fund also enters into a wrapper contract issued by a third-party.

As described in Note 2, because these contracts are fully benefit-responsive, contract value is the relevant measurement attribute for that portion of the net assets available for benefits attributable to these contracts. Contract value represents contributions made under the contract, plus earnings, less participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investment at contract value.

Occurrence of certain events may limit the ability of the Plan to transact at contract value with the issuer. The Plan administrator does not believe that the occurrence of such an event is probable.

There are no reserves against contract value for credit risk of the contract issuer or otherwise. The crediting interest rate is based on a formula agreed upon with the issuer, but it may not be less than zero percent. Such interest rates are reviewed on a quarterly basis for resetting.

The yield earned by the contract for the years ended December 31, 2013 and 2012 was 1.57% and 1.39%, respectively. This represents the annualized earnings of all investments in the contract, including the earnings recorded at the underlying collective trust funds, divided by the fair value of all investments in the contract.

The yield earned by the contract with an adjustment to reflect the actual interest rate credited to participants in the contract for the years ended December 31, 2013 and 2012 was 1.89% and 2.49%, respectively. This represents the annualized earnings credited to participants in the contract divided by the fair value of all investments in the contract.

As of December 31, 2013 and 2012, the contract values of the Plan's Stable Value Fund were approximately $601,292,000 and $366,927,000, respectively. As of December 31, 2013 and 2012, the fair values of the Plan's Stable Value Fund were approximately $618,956,000 and $381,439,000, respectively. Fair value adjustments of approximately $(17,664,000) and $(14,512,000) were recorded on the Statements of Net Assets Available for Benefits as of December 31, 2013 and 2012, respectively. The contract values, fair values, and fair value adjustments as of December 31, 2013 include $252,094, 265,458, and $(13,364), respectively, associated with the transfer of assets of the Progress Energy 401(k) Savings & Stock Ownership Plan (see Note 1, Plan Merger).

8. Fair Value Measurements

The FASB Accounting Standards Codification ("ASC") 820, *Fair Value Measurements and Disclosures* ("ASC 820"), defines fair value, establishes a framework for measuring fair value in US GAAP and expands disclosure requirements about fair value measurements. Under ASC 820, fair value is considered to be the exchange price in an orderly transaction between market participants to sell an asset or transfer a liability at the measurement date. The fair value definition under ASC 820 focuses on an exit price, which is the price that would be received by the Plan to sell an asset or paid to transfer a liability versus an entry price, which would be the price paid to acquire an asset or received to assume a liability. Although ASC 820 does not require additional fair value measurements, it applies to other accounting pronouncements that require or permit fair value measurements.

Under the amended guidance of FASB Accounting Standards Update ("ASU") No. 2009-12, *Investments in Certain Entities That Calculate Net Asset Value per Share (or Its Equivalent)* ("ASU 2009-12"), entities are permitted, as a practical expedient, to estimate the fair value of investments within its scope using the NAV per share of the investment as of the reporting entity's measurement dates. The amended guidance also requires additional disclosures to better enable users of the financial statements to understand the nature and risks of the reporting entity's investments that fall under these rules. As a result of adopting ASU 2009-12, the Plan has provided additional disclosures regarding the nature and risks of investments within the scope of this guidance.

The Plan determines fair value of financial assets and liabilities based on the following fair value hierarchy, as prescribed by ASC 820, which prioritizes the inputs to valuation techniques used to measure fair value into three levels:

Level 1 inputs: Unadjusted quoted prices in active markets for identical assets or liabilities that the Plan has the ability to access. An active market for the asset or liability is one in which transactions for the asset or liability occurs with sufficient frequency and volume to provide ongoing pricing information.

Level 2 inputs: Inputs other than quoted market prices included in Level 1 that are observable, either directly or indirectly, for the asset or liability. Level 2 inputs include, but are not limited to, quoted prices for similar assets or liabilities in an active market, quoted prices for identical or similar assets or liabilities in markets that are not active and inputs other than quoted market prices that are observable for the asset or liability, such as interest rate curves and yield curves observable at commonly quoted intervals, volatilities, credit risk and default rates.

Level 3 inputs: Unobservable inputs for the asset or liability. Unobservable inputs reflect the Plan's own assumptions about the factors that other market participants would use in pricing an investment that would be based on the best information available in the circumstances.

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2013 (in thousands):

	2013			
Description	**Total Fair Value**	**Level 1**	**Level 2**	**Level 3**
Common Stock				
Duke Energy Common Stock Fund	$1,903,025	$1,903,025	$ —	$—
Institutional funds				
Large cap	1,491,285	—	1,491,285	—
Blended	857,807	—	857,807	—
International	375,404	—	375,404	—
Small/mid cap	506,432	—	506,432	—
Fixed income blend	317,344	—	317,344	—
BrokerageLink				
Mutual funds	265,004	265,004	—	—
Non-employer common stock	194,551	194,551	—	—
Interest-bearing cash	53,286	53,286	—	—
Corporate debt	515	515	—	—
US government securities	24	24	—	—
Stable value fund	618,956	—	618,956	—
Total investments at fair value	$6,583,633	$2,416,405	$4,167,228	$—

The following table provides by level, within the fair value hierarchy, the RSP Master Trust's investments at fair value as of December 31, 2012 (in thousands):

	2012			
Description	**Total Fair Value**	**Level 1**	**Level 2**	**Level 3**
Common Stock				
Duke Energy Common Stock Fund	$1,218,468	$1,218,468	$ —	$—
Institutional funds				
Large cap	835,675	—	835,675	—
Blended	522,200	—	522,200	—
International	163,332	—	163,332	—
Small/mid cap	160,755	—	160,755	—
Fixed income blend	210,047	—	210,047	—

	2012			
	Total Fair Value	Level 1	Level 2	Level 3
BrokerageLink				
Mutual funds	234,999	234,999	—	—
Non-employer common stock	157,855	157,855	—	—
Interest-bearing cash	49,971	49,971	—	—
Corporate debt	669	669	—	—
US government securities	25	25	—	—
Stable value fund	381,439	—	381,439	—
Total investments at fair value	$3,935,435	$1,661,987	$2,273,448	$—

Valuation methods of the primary fair value measurements disclosed above are as follows. There have been no changes in the methodologies used at December 31, 2013 or 2012.

Common stock/Corporate debt/US Government securities: Valued at the closing price in the principal active market on which the securities are traded. Principal active markets include published exchanges such as NASDAQ, NYSE, NYMEX and Chicago Board of Trade, as well as pink sheets, which is an electronic quotation system that displays quotes for broker-dealers for many over-the-counter securities.

Institutional funds – Large cap: Includes investments in large US value and growth stocks to provide investors with a method for capturing returns of the market of large US value and growth stocks and achieving capital appreciation and over the long term, with an acceptance of the volatility inherent to large US stocks. The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Institutional funds – Blended: Includes a diversified blend of stocks, bonds, and short-term investments, professionally managed to provide an investment portfolio based on a target date of age 65. The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Institutional funds – International: Includes diversified investments in the equity of developed and emerging market countries other than the US, ranging from large to micro cap capitalizations, to provide investors with a method for capturing returns of these equity markets, and achieving capital appreciation and income over the long term, with an acceptance of volatility inherent in the developed and emerging non-US markets in aggregate. The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Institutional funds – Small/mid cap: Includes diversified investments of common stocks issued by US companies with small to mid capitalizations, attempting to generate investment returns that exceed those of the Russell 2500® Index over a market cycle for investors seeking growth and

income and capital appreciation over the long-term, with an acceptance of the volatility inherent in the small/mid size company segment of the US market. The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Institutional funds – Fixed income blend: Includes investments in a full range of investment grade fixed income securities and small opportunistic allocations to below investment grade and non-dollar bonds for investors seeking current income and the relative security of principal, compared to equity investments. The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Mutual funds: Valued at the net asset value of shares held by the Plan at year end. The Plan's investments in mutual funds within the BrokerageLink account are valued using Level 2 measurements.

Stable value fund: Valued at contract value, with adjustment to fair value disclosed in the Statements of Net Assets Available for Benefits. Contract value represents contributions made under the contract, plus earnings, less participant withdrawals and administrative expenses. Investments in units of underlying funds are valued at their respective net asset values. The guaranteed investment contract consists of investments in underlying securities with a wrap contract under which a third party guarantees benefit-responsive withdrawals by plan participants at contract value. The fair value of the wrap contracts is determined using a discounting methodology. Deposits to and withdrawals from the Stable Value Fund may be made daily at the current net asset value per unit. There are currently no redemption restrictions or redemption notice period.

The availability of observable market data is monitored to assess the appropriate classification of the Plan's investments within the fair value hierarchy. Changes in economic conditions or valuation techniques may require the transfer of investments from one fair value level to another. Transfers between levels are evaluated for their significance based upon the nature of the investments and size of the transfer relative to the net assets available for benefits. During 2012, as a result of a reassessment, the classification of the mutual funds held within BrokerageLink was changed from Level 2 to Level 1 to reflect the valuation methodology and observable inputs used. The change in fair value classification and transfer to Level 1 is reported at the beginning of the reporting period.

9. Plan Changes

Effective as if originally included in the January 1, 2008 restatement of the Plan, the Plan was amended to provide for certain changes requested by the Internal Revenue Service for the issuance of a favorable determination letter. Effective January 1, 2013, the Plan's definition of eligible earnings was amended, and, effective January 1, 2013 and June 1, 2013, the Plan's loan provisions were clarified.

10. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of the net assets available for benefits per the financial statements to Form 5500 as of December 31, 2013 and 2012 (in thousands):

	December 31,	
	2013	**2012**
Net assets available for benefits per the financial statements	$6,688,764	$4,003,922
Adjustment from contract value to fair value for fully benefit-responsive contracts	17,664	14,512
Net assets per Form 5500	$6,706,428	$4,018,434

The following is a reconciliation of the Plan's change in net assets available for benefits per the Plan financial statements to Form 5500 for the year ended December 31, 2013 (in thousands):

Increase in net assets available for benefits prior to transfers per financial statements	$608,491
Change in adjustment from contract value to fair value for fully benefit-responsive investment contracts	3,152
Increase in net assets per Form 5500	$611,643

Supplementary Information

Duke Retirement Savings Plan
EIN: 20-2777218 PN: 002

Form 5500, Schedule H, Part IV,
Line 4i – Schedule of Assets (Held at End of Year)

December 31, 2013

(In thousands)

(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 Market Value
*	Duke Energy Common Stock Fund	Common Stock	**	$1,903,025
*	US Equity Small/Midcap Blend Fund	Institutional Fund	**	506,432
*	US Equity All Cap Blend Fund	Institutional Fund	**	64,186
*	Non-US Equity Blend Fund	Institutional Fund	**	359,933
*	Fixed Income Blend Fund	Institutional Fund	**	317,344
*	US Equity S&P 500 Index Fund	Institutional Fund	**	1,427,099
*	Target Retirement Date Fund 2010	Institutional Fund	**	33,201
*	Target Retirement Date Fund 2015	Institutional Fund	**	117,310
*	Target Retirement Date Fund 2020	Institutional Fund	**	192,356
*	Target Retirement Date Fund 2025	Institutional Fund	**	147,207
*	Target Retirement Date Fund 2030	Institutional Fund	**	123,468
*	Target Retirement Date Fund 2035	Institutional Fund	**	50,783
*	Target Retirement Date Fund 2040	Institutional Fund	**	57,964
*	Target Retirement Date Fund 2045	Institutional Fund	**	57,192
*	Target Retirement Date Fund 2050	Institutional Fund	**	25,489
*	Target Retirement Date Fund 2055	Institutional Fund	**	10,557
*	Target Retirement Date Fund Post Retirement	Institutional Fund	**	42,280
	BrokerageLink	Self-directed brokerage account	**	513,380
	Stable Value Fund	Common Collective Trust Fund	**	618,956
	Global Real Estate Investment Trust Fund	Institutional Fund	**	15,471
	Total Investments			$6,583,633
*	Participant Loans	Participant Loans		
		Interest Rates ranging from 3.25% - 10.50%	-0-	120,884
	Total			$ 6,704,517

* Permitted party-in-interest

**Cost information is not required for participant-directed investments, and therefore, is not included

Schedule C Line 3(e) Attachment

Name of Plan: Duke Energy Retirement Savings Plan **Year End: 12/31/2013**

EIN and three-digit plan number: 20 -2777218 - 002

Cusip	Fund Family Name	Service Code	Rate	Fund Name	Address	City	State	Zip Code
619815103	MOTLEY FOOL FUNDS	60	0.40%	MOTLEY FOOL INDEPENDENCE FD	2000 Duke Street, Suite 175	ALEXANDRIA	VA	22314
619815202	MOTLEY FOOL FUNDS	60	0.40%	MOTLEY FOOL GREAT AMERICA FUND	2000 Duke Street, Suite 175	ALEXANDRIA	VA	22314
619815301	MOTLEY FOOL FUNDS	60	0.40%	MOTLEY FOOL EPIC VOYAGE FUND	2000 Duke Street, Suite 175	ALEXANDRIA	VA	22314
437769508	HOMESTEAD FUNDS	60	$16	HOMESTEAD SMALL COMPANY STOCK FD	4301 Wilson Blvd	ARLINGTON	VA	22203
227061108	CROFT	60	0.40%	CROFT VALUE FUND	300 Water Street	BALTIMORE	MD	21202
66537T711	PACIFIC FINANCIAL	60	0.40%	PFG TACTICAL FUND INVESTOR CLASS	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T737	PACIFIC FINANCIAL	60	0.40%	PFG STRATEGIC CONSERVATIVE INVST	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T752	PACIFIC FINANCIAL	60	0.40%	PFG INTERNATIONAL FUND - INVESTOR CL	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T778	PACIFIC FINANCIAL	60	0.40%	PFG EXPLORER FUND INVESTOR CLASS	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T794	PACIFIC FINANCIAL	60	0.40%	PFG CORE EQUITY FUND - INVESTOR	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
022865109	AMANA MUTUAL	60	0.40%	AMANA MUTUAL FUND TRUST INCOME	1300 North State Street	BELLINGHAM	WA	98225
022865208	AMANA MUTUAL	60	0.40%	AMANA MUTUAL FUND TRUST GROWTH	1300 North State Street	BELLINGHAM	WA	98225
022865307	AMANA MUTUAL	60	0.40%	AMANA DEVELOPING WORLD FUND	1300 North State Street	BELLINGHAM	WA	98225
804096501	SEXTANT FUNDS	60	0.40%	SEXTANT INTRNATIONALFUND	1300 North State Street	BELLINGHAM	WA	98225
900297300	TURNER FUNDS	60	0.40%	TURNER SMALL CAPITALGROWTH INV CL	1205 Westlakes Drive Suite 100	BERWYN	PA	19312
086233202	BERWYN	60	$16	BERWYN INCOME FUND	1189 Lancaster Ave.	BERWYN	PA	19312
809271737	DUNDEEWEALTH FUNDS	60	0.35%	DYNAMIC US GROWTH FUND CL I	1055 Westlakes Drive, Suite 301	Berywn	PA	19312
743185480	PRO FUNDS	60	0.40%	BIOTECHNOLOGY ULTRA SECTOR PRO FD INVS	7501 Wisconsin Ave, Suite 1000 East Tower	BETHESDA	MD	20814
74318A356	PRO FUNDS	60	0.40%	PRO FUNDS ULTRA SHORT MID-CAP-INV CL	7501 Wisconsin Ave, Suite 1000 East Tower	BETHESDA	MD	20814
74318A372	PRO FUNDS	60	0.40%	ULTRA SHORT DOW 30 INVESTOR SHARES	7501 Wisconsin Ave, Suite 1000 East Tower	BETHESDA	MD	20814
317609683	VULCAN FUND	60	0.40%	VULCAN VALUE PARTNERS SMALL CAP	3500 Blue Lake Drive Suite 400	Birmingham	AL	35243
808530208	SCHWARTZ INVST TRUST	60	0.40%	AVE MARIA CATHOLIC VALUES	3707 West Maple Rd.	BLOOMFIELD HILLS	MI	48301
808530307	SCHWARTZ INVST TRUST	60	0.40%	AVE MARIA GROWTH	3707 West Maple Rd.	BLOOMFIELD HILLS	MI	48301
808530604	SCHWARTZ INVST TRUST	60	0.40%	AVE MARIA RISING DIVIDEND FUND	3707 West Maple Rd.	BLOOMFIELD HILLS	MI	48301
552983801	MFS	60	0.05%	MFS VALUE CLASS A	500 Boylston Street, 20th Floor	BOSTON	MA	2116
55273E673	MFS	60	0.08%	MFS EMERGING MARKETS DEBT CL A	500 Boylston Street, 20th Floor	BOSTON	MA	2116
55273E871	MFS	60	0.08%	MFS INTERNATIONAL VALUE FUND CL C	500 Boylston Street, 20th Floor	BOSTON	MA	2116
552983512	MFS	60	0.08%	MFS RESEARCH INTL CLASS A	500 Boylston Street, 20th Floor	BOSTON	MA	2116
552983538	MFS	60	0.08%	MFS NEW DISCOVERY CLASS C	500 Boylston Street, 20th Floor	BOSTON	MA	2116
552983553	MFS	60	0.08%	MFS NEW DISCOVERY CLASS A	500 Boylston Street, 20th Floor	BOSTON	MA	2116
197199847	COLUMBIA	60	0.10%	COLUMBIA ACORN INTERNATIONAL CL A	225 Franklin St, BX 25 10320	BOSTON	MA	2110
19765J863	COLUMBIA	60	0.10%	COLUMBIA MID CAP VALUE CLASS A	225 Franklin St, BX25 10320	BOSTON	MA	2110
19765N492	COLUMBIA	60	0.10%	COLUMBIA INTERMED BOND CL A	225 Franklin St, BX25 10320	BOSTON	MA	2110
19765Y514	COLUMBIA	60	0.10%	COLUMBIA VALUE AND RESTRUCTURING CL Z	225 Franklin St, BX25 10320	BOSTON	MA	2110
409902830	JOHN HANCOCK	60	0.10%	JOHN HANCOCK US GLBL LEADERS GROWTH CL A	601 Congress St., 9th Fl.	BOSTON	MA	2210
410223101	JOHN HANCOCK	60	0.10%	JOHN HANCOCK BOND CLASS A	601 Congress St., 9th Fl.	BOSTON	MA	2210
72369G108	PIONEER	60	0.10%	PIONEER GLOBAL HIGH YIELD CL A	60 State Street, 17th Fl.	BOSTON	MA	2109
72369G306	PIONEER	60	0.10%	PIONEER GLOBAL HIGH YIELD FD CL C	60 State Street, 17th Fl.	BOSTON	MA	2109
76628R581	RIDGEWORTH	60	0.10%	RIDGEWORTH MID CAP VALUE EQUITY CL C	100 Huntington Avenue	BOSTON	MA	2116
76628R672	RIDGEWORTH	60	0.10%	RIDGEWORTH LARGE CAP VALUE QUITY I	100 Huntington Avenue	BOSTON	MA	2116
76628T678	RIDGEWORTH	60	0.10%	RIDGEWORTH FLOATING RATE INCOME FD I	100 Huntington Avenue	BOSTON	MA	2116
277911129	EATON VANCE	60	0.35%	EATON VANCE FLOATINGRATE FUND CLASS A	Two International Place	BOSTON	MA	2110
277911137	EATON VANCE	60	0.35%	EATON VANCE FLOATINGRATE HI INC FD CL A	Two International Place	BOSTON	MA	2110
277923660	EATON VANCE	60	0.35%	EATON VANCE FLOATINGRATE ADVANTAGE CL A	Two International Place	BOSTON	MA	2110
277923710	EATON VANCE	60	0.35%	EATON VANCE DIVERSFDCURRENCY INCOME A	Two International Place	BOSTON	MA	2110
543495774	LOOMIS SAYLES	60	0.35%	LOOMIS SAYLES GLOBAL BOND RETAIL	399 Boylston Street, 8th Fl	BOSTON	MA	2116
543495832	LOOMIS SAYLES	60	0.35%	LOOMIS SAYLES BOND RETAIL SHARES	399 Boylston Street, 8th Fl	BOSTON	MA	2116
277902656	EATON VANCE	60	0.40%	EATON VANCE ATLANTA CAP SMID CAP FD A	Two International Place	BOSTON	MA	2110
277923777	EATON VANCE	60	0.40%	PARAMETRIC EMERGING MKTS INV CL	Two International Place	BOSTON	MA	2110
74676P169	PUTNAM	60	0.40%	PUTNAM EQUITY SPECTRUM FUND CL A	One Post Office Square Mailzone G3C	BOSTON	MA	2109
746809102	PUTNAM	60	0.40%	PUTNAM INVESTORS CLASS A	One Post Office Square Mailzone G3C	BOSTON	MA	2109
784924755	SSGA	60	0.40%	SSGA CLARION REAL ESTATE	One Lincoln St.	BOSTON	MA	2111
784924789	SSGA	60	0.40%	SSGA EMERGING MARKETS	One Lincoln St.	BOSTON	MA	2111
543487284	NATIXIS	60	$12	LOOMIS SAYLES STRATEGIC INC CL A	399 Boylston Street, 8th Floor	BOSTON	MA	2116
277923645	EATON VANCE	60	$16	EATON VANCE FLOATINGRATE ADVANTAGE CL C	Two International Place	BOSTON	MA	2110
543495857	LOOMIS SAYLES	60	$16	LOOMIS SAYLES BOND ADMIN CL	399 Boylston Street, 8th Fl	BOSTON	MA	2116
093001147	WILLIAM BLAIR	60	0.05%	WILLIAM BLAIR MID CAP GRWTH FD CL N	222 West Adams Street, 12th floor	CHICAGO	IL	60606
093001204	WILLIAM BLAIR	60	0.05%	WILLIAM BLAIR INCOME CLASS N	222 West Adams Street, 12th floor	CHICAGO	IL	60606
093001477	WILLIAM BLAIR	60	0.05%	WILLIAM BLAIR SMALL CAP GROWTH CLASS N	222 West Adams Street, 12th floor	CHICAGO	IL	60606
411511108	HARBOR	60	0.05%	HARBOR BOND INST	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511306	HARBOR	60	0.05%	HARBOR INTERNATIONAL INSTITUTIONAL FD	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511645	HARBOR INVESTOR CL	60	0.05%	HARBOR INTERNATIONALINVESTOR SHARES	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511819	HARBOR INVESTOR CL	60	0.05%	HARBOR CAPITAL APPRECIATION INV CL	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
670690494	NUVEEN FLAGSHIP	60	0.07%	NUVEEN GLOBAL INFRASTRUCTURE CL A	333 West Wacker Drive	CHICAGO	IL	60606
670690643	NUVEEN R CLASS	60	0.07%	NUVEEN HIGH INCOME BOND CLASS R3	333 West Wacker Drive	CHICAGO	IL	60606
425067709	HENDERSON	60	0.10%	HENDERSON EUROPEAN FOCUS CLASS A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
425067717	HENDERSON	60	0.10%	HENDERSON GLOBAL EQTY INC FD CL A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
411511785	HARBOR INVESTOR CL	60	0.35%	HARBOR MID CAP GROWTH INV CLASS	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
413838103	OAKMARK	60	0.35%	OAKMARK FUND I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
413838202	OAKMARK	60	0.35%	OAKMARK INTERNATIONAL CL I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
413838400	OAKMARK	60	0.35%	OAKMARK EQUITY & INCOME FD I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
413838509	OAKMARK	60	0.35%	OAKMARK INTERNAT'L SMALL CAP I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
413838608	OAKMARK	60	0.35%	OAKMARK SELECT I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
413838822	OAKMARK	60	0.35%	OAKMARK GLOBAL SELECT FD CL I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
413838830	OAKMARK	60	0.35%	OAKMARK GLOBAL FUND I	Two North LaSalle Street Suite 500	CHICAGO	IL	60602
00078H315	ASTON ASSET MGMT	60	0.40%	ASTON/FAIRPOINTE MIDCAP FUND CL N	120 North LaSalle Street 25th Fl	CHICAGO	IL	60602
262028301	DRIEHAUS CAPITAL MGT	60	0.40%	DRIEHAUS EMERGING MARKETS	25 East Erie Street	CHICAGO	IL	60611
262028830	DRIEHAUS CAPITAL MGT	60	0.40%	DRIEHAUS EMERGING MARKETS SM CAP GRWTH	25 East Erie Street	CHICAGO	IL	60611
38143H357	GOLDMAN SACHS	60	0.40%	GOLDMAN SACHS SATELLITE STRATEGIES CL A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H779	GOLDMAN SACHS	60	0.40%	GOLDMAN SACHS SMALL/MID CAP GRWTH CL A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38145C661	GOLDMAN SACHS	60	0.40%	GOLDMAN SACHS STRG INCOME FUND CL A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
412295206	HARDING LOEVNER	60	0.40%	HARDING LOEVNER GLBLEQUITY PORT ADV CL	PO Box 4766	CHICAGO	IL	60680
412295305	HARDING LOEVNER	60	0.40%	HARDING LOEVNER EMERG MRKTS PORT ADV	PO Box 4766	CHICAGO	IL	60680

412295883	HARDING LOEVNER	60	0.40%	HARDING LOEVNER INTLSMALL CO PORT INV CL	PO Box 4766	CHICAGO	IL	60680
461418428	ZACKS	60	0.40%	ZACKS SMALL-CAP COREFUND	1 South Wacker Dr. Suite 2700	CHICAGO	IL	60606
543917108	THOMAS WHITE	60	0.40%	THOMAS WHITE INTERNATIONAL	440 South LaSalle Street; Ste. 3900	CHICAGO	IL	60605
665162400	NORTHERN FUNDS	60	0.40%	NORTHERN SMALL CAP VALUE	801 South Canal	CHICAGO	IL	60675
665162699	NORTHERN FUNDS	60	0.40%	NORTHERN HIGH YIELD FIXED INCOME	801 South Canal	CHICAGO	IL	60675
76881N707	RIVERNORTH	60	0.40%	RIVERNORTH/OAKTREE HIGH INCOME CL R	325 North LaSalle St, Suite 645	CHICAGO	IL	60654
90470K370	APPLESEED	60	0.40%	THE APPLESEED FUND	161 North Clark St., Suite 2200	CHICAGO	IL	60601
38141W661	GOLDMAN SACHS	60	0.50%	GOLDMAN SACHS HIGH YIELD SVS SHRS	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38141W869	GOLDMAN SACHS	60	0.50%	GOLDMAN SACHS SHORT DURATION GOV'T SCVS	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38142Y500	GOLDMAN SACHS	60	0.50%	GOLDMAN SACHS GRWTH OPPORT FD CL SVC	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38142B336	GOLDMAN SACHS	60	$19	GOLDMAN SACHS SMALL CAP VALUE CLASS C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H340	GOLDMAN SACHS	60	$19	GOLDMAN SACHS SATELLITE PORT CL C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H696	GOLDMAN SACHS	60	$19	GOLDMAN SACHS US EQUITY DIV PREM C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
89154Q752	TOUCHSTONE	60	0.08%	TOUCHSTONE SMALL CAP GROWTH FUND CLASS A	303 Broadway, Suite 1100	CINCINNATI	OH	45202
89155H678	TOUCHSTONE	60	0.10%	TOUCHSTONE ULTRA SHR DUR FIX INC CL Z	303 Broadway, Suite 1100	CINCINNATI	OH	45202
89155H819	TOUCHSTONE	60	0.40%	TOUCHSTONE SANDS CAP SEL GRWTH Z	303 Broadway, Suite 1100	CINCINNATI	OH	45202
448108209	HUSSMAN	60	$12	HUSSMAN STRATEGIC TOTAL RETURN	225 Pictoria Drive, Suite 450	Cincinnati	OH	45246
926464231	VICTORY FDS	60	0.10%	VICTORY ESTABLISHED VALUE CLASS A	127 Public Square	CLEVELAND	OH	44114
742935109	HODGES	60	0.40%	HODGES FUND	2905 Maple Avenue	DALLAS	TX	75201
742935299	HODGES	60	0.40%	HODGES SMALL CAP FUND	2905 Maple Avenue	DALLAS	TX	75201
589619105	MERIDIAN FUNDS	60	0.03%	MERIDIAN GROWTH FUND	100 Fillmore St.	DENVER	CO	80206
957904675	WESTCORE	60	0.30%	WESTCORE PLUS BOND FUND	1225 17th Street 26th Floor	DENVER	CO	80202
471023309	JANUS NO LOAD	60	0.35%	JANUS GLOBAL RESEARCH FD CL T	151 Detroit St.	DENVER	CO	80206
471023507	JANUS NO LOAD	60	0.35%	JANUS VENTURE FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023549	JANUS NO LOAD	60	0.35%	JANUS TRITON FUND CLASS T SHARES	151 Detroit St.	DENVER	CO	80206
471023572	JANUS NO LOAD	60	0.35%	PERKINS SMALL CAP VALUE CLASS T	151 Detroit St.	DENVER	CO	80206
471023598	JANUS NO LOAD	60	0.35%	PERKINS MID CAP VALUE FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023606	JANUS NO LOAD	60	0.35%	JANUS FLEXIBLE BOND FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023648	JANUS NO LOAD	60	0.35%	JANUS GLOBAL SELECT CL T	151 Detroit St.	DENVER	CO	80206
471023655	JANUS NO LOAD	60	0.35%	JANUS CONTRARIAN FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023663	JANUS NO LOAD	60	0.35%	JANUS GLOBAL TECHNOLOGY CLASS T	151 Detroit St.	DENVER	CO	80206
471023671	JANUS NO LOAD	60	0.35%	JANUS GLOBAL LIFE SCIENCES FUND CL T	151 Detroit St.	DENVER	CO	80206
471023762	JANUS NO LOAD	60	0.35%	JANUS HIGH YIELD FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023804	JANUS NO LOAD	60	0.35%	JANUS ENTERPRISE FUND CLASS T SHARES	151 Detroit St.	DENVER	CO	80206
471023846	JANUS NO LOAD	60	0.35%	JANUS OVERSEAS FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023853	JANUS NO LOAD	60	0.35%	JANUS RESEARCH FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023879	JANUS NO LOAD	60	0.35%	JANUS BALANCED FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023887	JANUS NO LOAD	60	0.35%	JANUS SHORT TERM BOND FUND CLASS T	151 Detroit St.	DENVER	CO	80206
03875R106	ARBITRAGE FUNDS	60	0.40%	ARBITRAGE FUND CLASS R	1290 Broadway, Suite 1100	DENVER	CO	80203
115291809	BROWN CAPITAL MGT	60	0.40%	BROWN CAPITAL MGT MID CAP INV	1290 Broadway, Ste 1100	DENVER	CO	80203
115291833	BROWN CAPITAL MGT	60	0.40%	BROWN CAPITAL MGT SMALL COMPANY INV	1290 Broadway, Ste 1100	DENVER	CO	80203
704223700	PAX WORLD	60	0.40%	PAX WORLD HIGH YIELDBOND INDIV INV CL	1290 Broadway, Suite 1100	DENVER	CO	80203
957904550	WESTCORE	60	0.40%	WESTCORE INTERNAT'L SMALL CAP FUND	1225 17th Street 26th Floor	DENVER	CO	80202
74254T443	PRINCIPAL	60	0.10%	PRINCIPAL MID CAP FUND CLASS A	1100 Investment Blvd., Suite 200	EL DORADO HILLS	CA	95762
007989379	HUBER FUNDS	60	0.08%	HUBER CAPITAL SMALL CAP VALUE INVESTOR	2321 Rosecrans Ave., Suite 3245	EL SEGUNDO	CA	90245
68381K101	OPPENHEIMER	60	0.25%	OPPENHEIMER SENIOR FLOATING RATE CL A	6801 South Tucson Way	Englewood	CO	80112
683924104	OPPENHEIMER	60	0.25%	OPPENHEIMER GLOBAL FD CLASS A	6801 South Tucson Way	Englewood	CO	80112
683910103	OPPENHEIMER	60	0.40%	OPPENHEIMER GOLD & SPEC MINERALS CL A	6801 South Tucson Way	Englewood	CO	80112
683974109	OPPENHEIMER	60	0.40%	OPPENHEIMER DEV MARKETS FD CLASS A	6801 South Tucson Way	Englewood	CO	80112
68380K607	OPPENHEIMER	60	$17	OPPENHEIMER GLOBAL STRATEGIC INC CL N	6801 South Tucson Way	Englewood	CO	80112
68380L308	OPPENHEIMER	60	$17	OPPENHEIMER INT'L GROWTH CLASS C	6801 South Tucson Way	Englewood	CO	80112
68380L506	OPPENHEIMER	60	$17	OPPENHEIMER INTERNAT'L GROW CL N	6801 South Tucson Way	Englewood	CO	80112
68380T103	OPPENHEIMER	60	$17	OPPENHEIMER INT'L BOND CLASS A	6801 South Tucson Way	Englewood	CO	80112
68381K309	OPPENHEIMER	60	$17	OPPENHEIMER SENIOR FLOATING RATE CL C	6801 South Tucson Way	Englewood	CO	80112
683921407	OPPENHEIMER	60	$17	OPPENHEIMER DISCOVERY CLASS C	6801 South Tucson Way	Englewood	CO	80112
683924302	OPPENHEIMER	60	$17	OPPENHEIMER GLOBAL FD CLASS C	6801 South Tucson Way	Englewood	CO	80112
683974307	OPPENHEIMER	60	$17	OPPENHEIMER DEV MARKETS FD CLASS C	6801 South Tucson Way	Englewood	CO	80112
683974406	OPPENHEIMER	60	$17	OPPENHEIMER DEV MARKETS CL N	6801 South Tucson Way	Englewood	CO	80112
563821529	MANNING & NAPIER	60	0.40%	MANNING & NAPIER INTL SERIES CL S	290 Woodcliff Dr.	Fairport	NY	14450
563821545	MANNING & NAPIER	60	0.40%	MANNING & NAPIER WORLD OPPT SER CL A	290 Woodcliff Dr.	Fairport	NY	14450
563821602	MANNING & NAPIER	60	0.40%	MANNING & NAPIER EQUITY SERIES	290 Woodcliff Dr.	Fairport	NY	14450
563821651	MANNING & NAPIER	60	0.40%	MANNING & NAPIER PROBLEND CONSV CL S	290 Woodcliff Dr.	Fairport	NY	14450
02368A208	AMERICAN BEACON	60	0.04%	AMERICAN BEACON LARGE CAP VALUE INST	4151 Amon Carter Blvd Maildrop 2450	Fort Worth	TX	76155
02368A448	AMERICAN BEACON	60	0.40%	AMERICAN BEACON EMRGMARKETS INVESTOR	4151 Amon Carter Blvd Maildrop 2450	Fort Worth	TX	76155
02368A620	AMERICAN BEACON	60	0.40%	AMERICAN BEACON SMALL CAP INVESTOR	4151 Amon Carter Blvd Maildrop 2450	Fort Worth	TX	76155
02368A810	AMERICAN BEACON	60	0.40%	AMERICAN BEACON LARGE CAP INVESTOR	4151 Amon Carter Blvd Maildrop 2450	Fort Worth	TX	76155
024524118	AMERICAN BEACON	60	0.40%	AM BEACON BRIDGEWAY LARGE CAP VALU INVST	4151 Amon Carter Blvd Maildrop 2450	Fort Worth	TX	76155
402031306	GUINNESS ATKINSON	60	0.10%	GUINNESS ATKINSON GLOBAL INNOVATORS	2220 E. Route 66, Suite 226	GLENDORA	CA	91740
402031405	GUINNESS ATKINSON	60	0.10%	GUINNESS ATKINSON GLOBAL ENERGY	2220 E. Route 66, Suite 226	GLENDORA	CA	91740
74160Q103	PRIME CAP ODYSSEY	60	$15	PRIMECAP ODYSSEY GROWTH FUND	2020 E. Financial Way, Suite 100	GLENDORA	CA	91741
74160Q202	PRIME CAP ODYSSEY	60	$15	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	2020 E. Financial Way, Suite 100	GLENDORA	CA	91741
92828N668	VIRTUS	60	$12	VIRTUS QUALITY SMALL CAP FD I	101 Munson St. Ste. 3	GREENFIELD	MA	1301
92828R230	VIRTUS	60	$12	VIRTUS PREMIUM ALPHASECTORSM FUND CL I	101 Munson St. Ste. 3	GREENFIELD	MA	1301
92828R248	VIRTUS	60	$12	VIRTUS PREMIUM ALPHASECTORSM FUND C	101 Munson St. Ste. 3	GREENFIELD	MA	1301
92828R297	VIRTUS	60	$12	VIRTUS DYNAMIC ALPHASECTOR (SM) FUND I	101 Munson St. Ste. 3	GREENFIELD	MA	1301
92828R644	VIRTUS	60	$12	VIRTUS MULTI SECTOR SHORT TERM BOND CL A	101 Munson St. Ste. 3	GREENFIELD	MA	1301
00203H842	AQR	60	0.40%	AQR MANAGED FUTURES FUND CL N	2 Greenwich Plaza	GREENWICH	CT	6830
44929K101	ICON FUND S CLASSES	60	0.08%	ICON MATERIALS CL S	5299 DTC Blvd. Suite 1200	GREENWOOD VILLAGE	CO	80111
44929K507	ICON FUND S CLASSES	60	0.08%	ICON ENERGY CL S	5299 DTC Blvd. Suite 1200	GREENWOOD VILLAGE	CO	80111
001413194	INVESCO	60	0.10%	INVESCO DIVERSIFIED DIVIDEND INVESTOR CL	11 Greenway Plaza; Suite 100	Houston	TX	77046
00141A842	INVESCO	60	0.10%	INVESCO FLOATING RATE FUND CLASS C	11 Greenway Plaza; Suite 100	Houston	TX	77046
00141A867	INVESCO	60	0.10%	INVESCO FLOATING RATE FUND CLASS A	11 Greenway Plaza; Suite 100	Houston	TX	77046
00141V721	INVESCO	60	0.10%	INVESCO BALANCED - RISK ALLOCATION CL C	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142C631	INVESCO	60	0.10%	INVESCO HIGH YIELD FUND INVESTOR	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142F105	INVESCO	60	0.10%	INVESCO ENERGY INVESTOR CLASS	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142F865	INVESCO	60	0.10%	INVESCO GOLD & PRECIOUS METALS INV	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142J578	INVESCO	60	0.10%	INVESCO AMERICAN FRANCHISE FUND CL A	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142J818	INVESCO	60	0.10%	INVESCO EQUALLY WEIGHTED S&P 500 A	11 Greenway Plaza; Suite 100	Houston	TX	77046
008882888	INVESCO	60	0.10%	INVESCO ASIA PACIFIC GROWTH CLASS A	11 Greenway Plaza; Suite 100	Houston	TX	77046

470259102	JAMES ADVANTAGE	60	0.40%	JAMES BALANCED: GOLDEN RAINBOW FUND	2960 N. Meridian Street - Suite 300	INDIANAPOLIS	IN	46208
461195109	INTREPID	60	0.40%	INTREPID SMALL CAP FUND INVESTOR CLASS	1400 Marsh Landing Pkwy. Suite 106	Jacksonville Beach	FL	32250
461195208	INTREPID	60	0.40%	INTREPID CAPITAL FUND INVESTOR CLASS	1400 Marsh Landing Pkwy. Suite 106	Jacksonville Beach	FL	32250
577119100	MATTHEW 25 FUND	60	0.40%	MATTHEW 25	P.O. Box 2479	JENKINTOWN	PA	19046
543915862	LORD ABBETT	60	0.10%	LORD ABBETT FUNDMNTL EQUITY CL A	90 Hudson Street 10th Floor	JERSEY CITY	NJ	7302
543916704	LORD ABBETT	60	0.10%	LORD ABBETT SHORT DURATION INCOME CL C	90 Hudson Street 10th Floor	JERSEY CITY	NJ	7302
92046L650	DREMAN	60	0.10%	DREMAN CONTRARIAN SMALL CAP VAL RETAIL	Harborside Financial Center, Plaza 10 Suite 800	JERSEY CITY	NJ	7311
86704B822	SUNAMERICA	60	0.40%	SUNAMERICA FOCUSED DIVIDEND STRAT CL A	3200 Plaza 5	JERSEY CITY	NJ	7311
024935405	AMERICAN CENTURY	60	0.09%	AMER CENTURY ZERO COUPON 2015 INVT CL	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025076449	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY MRK NEUTRAL VALUE INVST	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025076654	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY MID CAP VALUE INV SHS	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025076795	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY LARGE COMPANY INV	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025076852	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY SMALL CAP VALUE INV	4400 Main St 1st Floor	KANSAS CITY	MO	64111
02507F100	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY ONE CHOICE 2015 INV	4400 Main St 1st Floor	KANSAS CITY	MO	64111
02507F738	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY ONE CHOICE MOD INV CL	4400 Main St 1st Floor	KANSAS CITY	MO	64111
02507M881	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY UTILITIES INVESTOR	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025081704	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY INFLN ADJ BOND INV	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025083791	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY HERITAGE INVESTOR CL	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025085705	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY STRAT ALLOC AGG INV CL	4400 Main St 1st Floor	KANSAS CITY	MO	64111
025086844	AMERICAN CENTURY	60	0.09%	AMERICAN CENTURY GLOBAL GROWTH INVEST	4400 Main St 1st Floor	KANSAS CITY	MO	64111
70472Q708	PEAR TREE ORDINARY	60	0.40%	PEAR TREE POLARIS FRGN VALUE ORDINARY	55 Old Bedford Road	LINCOLN	MA	1773
674375407	OBERWEIS	60	0.40%	OBERWEIS CHINA OPPORTUNITIES FUND	3333 Warrenville Road, Ste. 500	LISLE	IL	60532
592905103	METROPOLITAN WEST	60	0.05%	METROPOLITAN WEST TOT RETURN BOND CL M	865 South Figueroa St. 1400	LOS ANGELES	CA	90017
592905863	METROPOLITAN WEST	60	0.05%	METROPOLITAN WEST INTERMED BOND FUND M	865 South Figueroa St. 1400	LOS ANGELES	CA	90017
592905871	METROPOLITAN WEST	60	0.05%	METROPOLITAN WEST HIGH YIELD BOND CL M	865 South Figueroa St. 1400	LOS ANGELES	CA	90017
87234N765	TCW FUNDS	60	0.05%	TCW EMERGING MKTS INCOME CL I	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N880	TCW FUNDS	60	0.05%	TCW TOTAL RETURN BOND CLASS I	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
30254T759	FPA	60	0.35%	FPA CRESCENT INSTL	11400 W. Olympic Blvd Suite 1200	LOS ANGELES	CA	90064
87234N351	TCW FUNDS	60	0.40%	TCW EMERGING MARKETS INCOME CL N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N518	TCW FUNDS	60	0.40%	TCW DIVIDEND FOCUSED FUND CL N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N641	TCW FUNDS	60	0.40%	TCW TOTAL RETURN BOND CLASS N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N724	TCW FUNDS	60	0.40%	TCW CORE FIXED INCOME CLASS N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
92046L692	SOUND MIND	60	0.10%	SOUND MIND INVESTING FUND	9700 Park Plaza Ave, #203	Louisville	KY	40241
028837847	API FUNDS	60	$12	API EFFICIENT FRONTIER INCOME CL L	2303 Yorktown Ave.	Lynchburg	VA	24501
884891201	THOMPSON IM FUNDS	60	0.25%	THOMPSON BOND FUND	918 Deming Way 3rd Floor	MADISON	WI	53717
933310104	WALTHAUSEN FUNDS	60	0.40%	WALTHAUSEN SMALL CAP VALUE FD	2691 Route 9	MALTA	NY	12020
00761L102	AEGIS FUNDS	60	$12	AEGIS VALUE FUND INC	6862 Elm Street, Suite 830	MCLEAN	VA	22101
66537T190	SOUTHERNSUN	60	0.40%	SOUTHERNSUN SMALL-CAP INVESTOR	6000 Poplar Ave. Suite 220	MEMPHIS	TN	38119
543069405	LONGLEAF PARTNERS	60	$16	LONGLEAF INTERNATL	6410 Poplar Avenue, Suite 900	MEMPHIS	TN	38119
304871106	FAIRHOLME	60	$8	FAIRHOLME FUND	4400 Biscayne Boulevard	MIAMI	FL	33137
115233405	BROWN ADVISORY	60	0.08%	BROWN ADVISORY SUSTAIN GROWTH ADV	777 E. Wisconsin Ave, 4th Floor	Milwaukee	WI	53202
573012200	MARSICO	60	0.10%	MARSICO GROWTH FUND	803 West Michigan Street Suite A	Milwaukee	WI	53233
589509108	MERGER FUND	60	0.10%	MERGER FUND	777 E. Wisconsin Ave.	Milwaukee	WI	53202
761724103	REYNOLDS	60	0.10%	REYNOLDS BLUE CHIP GROWTH	777 E. Wisconsin Ave.	Milwaukee	WI	53202
81063U206	SCOUT	60	0.10%	SCOUT MID CAP FUND	803 West Michigan Suite A	Milwaukee	WI	53233
81063U503	SCOUT	60	0.10%	SCOUT INTERNATIONAL FUND	803 West Michigan Suite A	Milwaukee	WI	53233
04314H501	ARTISAN	60	0.38%	ARTISAN SMALL CAP VALUE	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H709	ARTISAN	60	0.38%	ARTISAN MID CAP VALUE	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H881	ARTISAN	60	0.38%	ARTISAN INTL VALUE FUND INV CL	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
040337206	ARIEL	60	0.40%	ARIEL APPRECIATION	811 E. Wisconsin Avenue	Milwaukee	WI	53202
04314H105	ARTISAN	60	0.40%	ARTISAN SMALL CAP FUND INVESTOR CL	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H204	ARTISAN	60	0.40%	ARTISAN INTERNATL INVESTOR CLASS	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H816	ARTISAN	60	0.40%	ARTISAN GLOBAL EQUITY FUND INVESTOR	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H824	ARTISAN	60	0.40%	ARTISAN GLOBAL OPPORTUNITIES INV	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H840	ARTISAN	60	0.40%	ARTISAN GLOBAL VALUE FD INVT SHARES	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H873	ARTISAN	60	0.40%	ARTISAN VALUE FUND INVESTOR CL	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
09658L612	BMO	60	0.40%	BMO SMALL CAP GROWTH CL Y	111 E Kilbourn Ave, Ste 200	Milwaukee	WI	53202
09658L810	BMO	60	0.40%	BMO GOVERNMENT INCOME CL Y	111 E Kilbourn Ave, Ste 200	Milwaukee	WI	53202
119428100	BUFFALO FUNDS	60	0.40%	BUFFALO FLEXIBLE INCOME FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530103	BUFFALO FUNDS	60	0.40%	BUFFALO DISCOVERY FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530301	BUFFALO FUNDS	60	0.40%	BUFFALO EMERGING OPPORTUNITIES FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530509	BUFFALO FUNDS	60	0.40%	BUFFALO INTERNATIONAL FUND	615 E. Michigan Street	Milwaukee	WI	53202
119804102	BUFFALO FUNDS	60	0.40%	BUFFALO SMALL CAP GROWTH	615 E. Michigan Street	Milwaukee	WI	53202
119826105	BUFFALO FUNDS	60	0.40%	BUFFALO GROWTH FUND	615 E. Michigan Street	Milwaukee	WI	53202
258620202	DOUBLELINE FUNDS	60	0.40%	DOUBLELINE TOTAL RT BOND FD CL N	777 East Wisconsin Avenue	Milwaukee	WI	53202
258620855	DOUBLELINE FUNDS	60	0.40%	DOUBLELINE LOW DURATION CL N	777 East Wisconsin Avenue	Milwaukee	WI	53202
30249V109	FMI FUNDS	60	0.40%	FMI COMMON STOCK	777 East Wisconsin Avenue MK-WI-T4MF	Milwaukee	WI	53202
302933205	FMI FUNDS	60	0.40%	FMI LARGE CAP FUND	777 East Wisconsin Avenue MK-WI-T4MF	Milwaukee	WI	53202
422352500	HEARTLAND	60	0.40%	HEARTLAND VALUE PLUS	789 N. WATER STREET	MILWAUKEE	WI	53202
422352807	HEARTLAND	60	0.40%	HEARTLAND SELECT VALUE	789 N. WATER STREET	MILWAUKEE	WI	53202
476313101	JENSEN FUNDS	60	0.40%	JENSEN QUALITY GROWTH FD CL J	811 E. Wisconsin Ave, 8th Floor	MILWAUKEE	WI	53202
573012309	MARSICO	60	0.40%	MARSICO 21ST CENTURYFUND	803 West Michigan Street Suite A	Milwaukee	WI	53233
573012507	MARSICO	60	0.40%	MARSICO FLEXIBLE CAPITAL FUND	803 West Michigan Street Suite A	Milwaukee	WI	53233
653738203	NICHOLAS FUNDS	60	0.40%	NICHOLAS LIMITED EDITION INC CLASS N	700 N. Water St. 10th Floor	Milwaukee	WI	53202
742935117	AKRE FUNDS	60	0.40%	AKRE FOCUS FUND RETAIL	777 E. Wisconsin Ave. 4th FL	Milwaukee	WI	53202
89833W774	SMEAD FUND	60	0.40%	SMEAD VALUE FUND INVESTOR CL SHARES	777 Wisconsin Ave	Milwaukee	WI	53202
258620103	DOUBLELINE FUNDS	60	$12	DOUBLELINE TOTAL RETURN BOND FD CL I	777 East Wisconsin Avenue	Milwaukee	WI	53202
56064V205	MAIRS & POWERS	60	$16	MAIRS & POWER GROWTHFUND	777 E. Wisconsin Avenue	Milwaukee	WI	53202
742935489	OSTERWEIS	60	$16	THE OSTERWEIS STRATEGIC INCOME FD	777 E. Wisconsin Ave	Milwaukee	WI	53202
829800101	SIT	60	0.35%	SIT US GOVT SECS	80 South 8th Street	MINNEAPOLIS	MN	55402
527289102	LEUTHOLD FUNDS	60	0.40%	LEUTHOLD CORE INVESTMENT	33 South Sixth St. Suite 4600	MINNEAPOLIS	MN	55402
97607W102	WINTERGREEN	60	0.40%	WINTERGREEN FUND	333 Route 46 West, Suite 204	MOUNTAIN LAKES	NJ	7046
128119302	CALAMOS	60	0.40%	CALAMOS GROWTH CLASSA	2020 Calamos Court	Naperville	IL	60563
128119575	CALAMOS	60	0.40%	CALAMOS INTL GROWTH FUND CLASS A	2020 Calamos Court	Naperville	IL	60563
41012R829	HANCOCK HORIZON	60	0.40%	HANCOCK HORIZON BURKENROAD SML CAP A	228 St. Charles Ave.	NEW ORLEANS	LA	70130
742935539	VILLERE	60	0.40%	VILLERE BALANCED	601 Poydras Street Ste 1808	NEW ORLEANS	LA	70130
05528X604	BBH FRMLY 59 WALL ST	60	0.04%	BBH CORE SELECT FUND CL N	140 Broadway	NEW YORK	NY	10005
52468C109	LEGG MASON	60	0.05%	CLEARBRIDGE AGGRESSIVE GROWTH A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
52469F366	LEGG MASON	60	0.05%	WESTERN ASSET MORT BACKED SEC A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018

52469F630	LEGG MASON	60	0.05% WESTERN ASSET SHORT DURATION HIGH INC A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
192476109	COHEN & STEERS	60	0.06% COHEN & STEERS REALTY SHARES	280 Park Avenue, 10th Floor	NEW YORK	NY	10017
19247N300	COHEN & STEERS	60	0.06% COHEN & STEERS GLOBAL REALTY CL C	280 Park Avenue, 10th Floor	NEW YORK	NY	10017
068278209	BARON ASSET	60	0.08% BARON GROWTH	767 5th Avenue 49th Floor	NEW YORK	NY	10153
068278308	BARON ASSET	60	0.08% BARON SMALL CAP FD	767 5th Avenue 49th Floor	NEW YORK	NY	10153
06828M108	BARON ASSET	60	0.08% BARON PARTNERS FUND	767 5th Avenue 49th Floor	NEW YORK	NY	10153
06828M702	BARON ASSET	60	0.08% BARON REAL ESTATE FUND RETAIL	767 5th Avenue 49th Floor	NEW YORK	NY	10153
091929208	BLACKROCK FUNDS	60	0.08% BLACKROCK INTL OPPORT SVC CLASS	40 East 52nd Street	NEW YORK	NY	10022
091929679	BLACKROCK FUNDS	60	0.08% BLACKROCK HIGH YIELD BOND CLASS A	40 East 52nd Street	NEW YORK	NY	10022
091937573	BLACKROCK FUNDS	60	0.08% BLACKROCK HEALTH SCIENCES OPP PRT A	40 East 52nd Street	NEW YORK	NY	10022
091937722	BLACKROCK FUNDS	60	0.08% BLACKROCK INFLATION PRO BOND PORT INV A	40 East 52nd Street	NEW YORK	NY	10022
09250X303	BLACKROCK FUNDS	60	0.08% BLACKROCK LATIN AMERICA FD CL C	40 East 52nd Street	NEW YORK	NY	10022
09251M504	BLACKROCK FUNDS	60	0.08% BLACKROCK EQUITY DIVIDEND FD-INSTL	40 East 52nd Street	NEW YORK	NY	10022
09251T103	BLACKROCK FUNDS	60	0.08% BLACKROCK GLOBAL ALLOCATION CL A	40 East 52nd Street	NEW YORK	NY	10022
09251T301	BLACKROCK FUNDS	60	0.08% BLACKROCK GLOBAL ALLOCATION FD CL C	40 East 52nd Street	NEW YORK	NY	10022
09256H344	BLACKROCK FUNDS	60	0.08% BLACKROCK MULTI - ASSET INCOME FUND C	40 East 52nd Street	NEW YORK	NY	10022
40428X230	HSBC FUNDS	60	0.08% HSBC FRONTIER MARKTS FUND CL A	452 Fifth Ave, 7th Floor	NEW YORK	NY	10018
66537V237	13D ACTIVIST FUND	60	0.08% 13D ACTIVIST FUND CL I	250 West 57th Street, Suite 915	NEW YORK	NY	10107
018920801	ALLIANZ	60	0.10% ALLIANZGI NFJ INT'L VALUE CL C	1633 Broadway	NEW YORK	NY	10019
233379718	DWS INVESTMENTS	60	0.10% DWS RREEF GLOBAL INFRASTRUCTURE FD A	280 Park Ave	NEW YORK	NY	10026
23337F706	DWS INVESTMENTS	60	0.10% DWS FLOATING RATE CLASS A	280 Park Ave	NEW YORK	NY	10026
23339C735	DWS INVESTMENTS	60	0.10% DWS U.S. BOND INDEX FUND CLASS A	280 Park Ave	NEW YORK	NY	10026
64128K751	NEUBERGER BERMAN	60	0.10% NEUBERGER BERMAN STRATEGIC INC INSTL	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
693390429	PIMCO	60	0.10% PIMCO TOTAL RETURN CLASS C	1633 Broadway	NEW YORK	NY	10019
693390445	PIMCO	60	0.10% PIMCO TOTAL RETURN CLASS A	1633 Broadway	NEW YORK	NY	10019
693391146	PIMCO	60	0.10% PIMCO REAL RETURN CLASS C	1633 Broadway	NEW YORK	NY	10019
722005568	PIMCO	60	0.10% PIMCO COMMODITY REALRETURN STRAT C	1633 Broadway	NEW YORK	NY	10019
72200Q711	PIMCO	60	0.10% PIMCO ALL ASSET FUND CLASS A	1633 Broadway	NEW YORK	NY	10019
72200Q828	PIMCO	60	0.10% PIMCO FOREIGN BOND (US $-HEDGED) CL R	1633 Broadway	NEW YORK	NY	10019
72201T664	PIMCO	60	0.10% PIMCO EQS DIVDEND FUND CL A	1633 Broadway	NEW YORK	NY	10019
884116401	THIRD AVENUE	60	0.35% THIRD AVENUE REAL ESTATE VALUE INSTL	622 Third Avenue 32 Floor	NEW YORK	NY	10017
884116500	THIRD AVENUE	60	0.35% THIRD AVENUE INTL VALUE INSTL CLASS	622 Third Avenue 32 Floor	NEW YORK	NY	10017
693391674	PIMCO	60	0.38% PIMCO TOTAL RETURN CLASS D	1633 Broadway	NEW YORK	NY	10019
693391690	PIMCO	60	0.38% PIMCO SHORT TERM CLASS D	1633 Broadway	NEW YORK	NY	10019
693391732	PIMCO	60	0.38% PIMCO LOW DURATION CLASS D	1633 Broadway	NEW YORK	NY	10019
72201F458	PIMCO	60	0.38% PIMCO INCOME FUND CL D	1633 Broadway	NEW YORK	NY	10019
018918276	ALLIANZ	60	0.40% ALLIANZGI NFJ DIVIDEND VALUE CL D	1633 Broadway	NEW YORK	NY	10019
018918482	ALLIANZ	60	0.40% ALLIANZGI NFJ LARGE CAP VALUE CL D	1633 Broadway	NEW YORK	NY	10019
018918748	ALLIANZ	60	0.40% ALLIANZGI NFJ SMALL CAP VALUE CL D	1633 Broadway	NEW YORK	NY	10019
018919324	ALLIANZ	60	0.40% ALLIANZGI INT'L MGD VOLATILITY CL D	1633 Broadway	NEW YORK	NY	10019
018919738	ALLIANZ	60	0.40% ALLIANZGI MID CAP CL D	1633 Broadway	NEW YORK	NY	10019
018920595	ALLIANZ	60	0.40% ALLIANZGI EMERGING MKTS OPP CL D	1633 Broadway	NEW YORK	NY	10019
04315J878	ARTIO GLOBAL FDS	60	0.40% ABERDEEN GLOBAL HIGHINCOME FUND CL A	P.O. Box 4664	NEW YORK	NY	10163
32008F101	FIRST EAGLE	60	0.40% FIRST EAGLE OVERSEAS CLASS A	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F507	FIRST EAGLE	60	0.40% FIRST EAGLE GLOBAL CLASS A	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
45070A107	IVA	60	0.40% IVA WORLDWIDE FUND CL A	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A305	IVA	60	0.40% IVA INTERNATIONAL FUND CL A	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
460953102	KINETICS	60	0.40% THE INTERNET FUND	470 Park Avenue South	NEW YORK	NY	10016
461418691	JUBAK FUNDS	60	0.40% JUBAK GLOBAL EQUITY FUND	135 E 57th St, 23rd Floor	NEW YORK	NY	10022
494613607	KINETICS	60	0.40% KINETICS PARADIGM FUND	470 Park Avenue South	NEW YORK	NY	10016
494613706	KINETICS	60	0.40% KINETICS SMALL CAP OPPORTUNITIES	470 Park Avenue South	NEW YORK	NY	10016
52106N319	LAZARD	60	0.40% LAZARD US REALTY EQUITY PORT OPEN SHS	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N442	LAZARD	60	0.40% LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N467	LAZARD	60	0.40% LAZARD DEVELOPING MRKTS EQ CL SHARES	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N582	LAZARD	60	0.40% LAZARD INTL STRAT EQUITY PORT OPEN CL	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N764	LAZARD	60	0.40% LAZARD EMERGING MKTSEQUITY OPEN CL SHRS	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N772	LAZARD	60	0.40% LAZARD INTL SMALL CAP EQUITY OPEN CL	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
524686383	LEGG MASON	60	0.40% LEGG MASON BW GLOBALOPPORTUNITIES BOND A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
63983V209	NEEDHAM	60	0.40% NEEDHAM AGGRESSIVE GROWTH	445 Park Ave.; 15th Floor	NEW YORK	NY	10022
640917100	NEUBERGER BERMAN	60	0.40% NEUBERGER BERMAN GENESIS TRUST CLASS	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
640917407	NEUBERGER BERMAN	60	0.40% NEUBERGER BERMAN LRG CAP VALUE TRUST	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
640917506	NEUBERGER BERMAN	60	0.40% NEUBERGER BERMAN FOCUS TRUST CLASS	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
640917803	NEUBERGER BERMAN	60	0.40% NEUBERGER BERMAN SMALL CAP GRWTH TRUS	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
641224845	NEUBERGER BERMAN	60	0.40% NEUBERGER BERMAN REAL ESTATE TRUST CL	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
64128K744	NEUBERGER BERMAN	60	0.40% NEUBERGER BERMAN STRATEGIC INC TRUST	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
693391666	PIMCO	60	0.40% PIMCO FOREIGN BOND (US $-HEDGED) CL D	1633 Broadway	NEW YORK	NY	10019
693391682	PIMCO	60	0.40% PIMCO REAL RETURN CLASS D	1633 Broadway	NEW YORK	NY	10019
693391716	PIMCO	60	0.40% PIMCO HIGH YIELD CLASS D	1633 Broadway	NEW YORK	NY	10019
722005212	PIMCO	60	0.40% PIMCO FOREIGN BOND FUND (UNHEDGED) CL D	1633 Broadway	NEW YORK	NY	10019
722005253	PIMCO	60	0.40% PIMCO GLOBAL BOND FUND (UNHEDGED) CL D	1633 Broadway	NEW YORK	NY	10019
722005550	PIMCO	60	0.40% PIMCO COMMODITY REAL RETURN CL D	1633 Broadway	NEW YORK	NY	10019
722005790	PIMCO	60	0.40% PIMCO EMERGING MARKETS BOND FUND D	1633 Broadway	NEW YORK	NY	10019
722008505	PIMCO	60	0.40% PIMCO INVESTMENT GRADE CORP BOND CL D	1633 Broadway	NEW YORK	NY	10019
72200Q190	PIMCO	60	0.40% PIMCO ALL ASSET ALL AUTHORITY CL D	1633 Broadway	NEW YORK	NY	10019
72200Q265	PIMCO	60	0.40% PIMCO REAL ESTATE REAL RETURN STRAT D	1633 Broadway	NEW YORK	NY	10019
72200Q307	PIMCO	60	0.40% PIMCO GNMA CLASS D	1633 Broadway	NEW YORK	NY	10019
72200Q398	PIMCO	60	0.40% PIMCO INTL STOCKSPLSAR STRAT (US$HDG) D	1633 Broadway	NEW YORK	NY	10019
72200Q638	PIMCO	60	0.40% PIMCO DIVERSIFIED INCOME FUND CL D	1633 Broadway	NEW YORK	NY	10019
72200Q679	PIMCO	60	0.40% PIMCO ALL ASSET FUND CLASS D	1633 Broadway	NEW YORK	NY	10019
72201F383	PIMCO	60	0.40% PIMCO EMERGING LOCALBOND FUND CL D	1633 Broadway	NEW YORK	NY	10019
72201F532	PIMCO	60	0.40% PIMCO INTL STOCKSPLSAR STRAT (UNHDG) D	1633 Broadway	NEW YORK	NY	10019
72201F722	PIMCO	60	0.40% PIMCO SMALL CAP STOCKSPLUS AR CL D	1633 Broadway	NEW YORK	NY	10019
72201F862	PIMCO	60	0.40% PIMCO FUNDAMENTAL INDEXPLUS AR FUND D	1633 Broadway	NEW YORK	NY	10019
72201M461	PIMCO	60	0.40% PIMCO UNCONSTRAINED BOND FUND CL D	1633 Broadway	NEW YORK	NY	10019
72201P134	PIMCO	60	0.40% PIMCO COMMODITIES PLUS STRATEGY CL D	1633 Broadway	NEW YORK	NY	10019
72201W774	PIMCO	60	0.40% PIMCO SENIOR FLOATING RATE CL D	1633 Broadway	NEW YORK	NY	10019
780811774	ROYCE	60	0.40% ROYCE SPECIAL MULTI CAP FD SERVICE CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905469	ROYCE	60	0.40% ROYCE FINANCIAL SVCSFD SERVICE CL SH	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905642	ROYCE	60	0.40% ROYCE TOTAL RETURN FD SVCS CL SH	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151

780905709	ROYCE	60	0.40%	ROYCE MICROCAP INVESTMENT CLASS	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905733	ROYCE	60	0.40%	ROYCE VALUE FUND SERVICE CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905741	ROYCE	60	0.40%	ROYCE VALUE PLUS SERVICE CLASS	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905782	ROYCE	60	0.40%	ROYCE SPECIAL EQUITYINVESTMENT CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905808	ROYCE	60	0.40%	ROYCE LOW PRICED STOCK FD-SERVICE CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905840	ROYCE	60	0.40%	ROYCE PENNSYLVANIA MUTUAL INVST CLASS	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905881	ROYCE	60	0.40%	ROYCE TOTAL RETURN FD INVESTMENT CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
884116864	THIRD AVENUE	60	0.40%	THIRD AVENUE INTL VALUE FUND INVESTOR	622 Third Avenue 32 Floor	NEW YORK	NY	10017
884116872	THIRD AVENUE	60	0.40%	THIRD AVENUE REAL ESTATE VALUE INVST	622 Third Avenue 32 Floor	NEW YORK	NY	10017
888894300	TOCQUEVILLE	60	0.40%	TOCQUEVILLE INTL VALUE	40 W 57th Street 19th Fl	NEW YORK	NY	10019
888894847	TOCQUEVILLE	60	0.40%	THE DELAFIELD FUND	40 W 57th Street 19th Fl	NEW YORK	NY	10019
888894862	TOCQUEVILLE	60	0.40%	TOCQUEVILLE GOLD FUND	40 W 57th Street 19th Fl	NEW YORK	NY	10019
920440104	VALUE LINE	60	0.40%	VALUE LINE INCOME AND GROWTH FUND	7 Times Square, 21st Fl	NEW YORK	NY	10036
920454105	VALUE LINE	60	0.40%	VALUE LINE SMALL CAPOPPORTUNITIES FUND	7 Times Square, 21st Fl	NEW YORK	NY	10036
920457108	VALUE LINE	60	0.40%	VALUE LINE PREMIER GROWTH FUND	7 Times Square, 21st Fl	NEW YORK	NY	10036
32008F705	FIRST EAGLE	60	$12	FIRST EAGLE GLOBAL CLASS C	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F788	FIRST EAGLE	60	$12	FIRST EAGLE GOLD FUND CLASS C	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F804	FIRST EAGLE	60	$12	FIRST EAGLE OVERSEAS CLASS C	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
45070A404	IVA	60	$12	IVA INTERNATIONAL FUND CL I	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A503	IVA	60	$12	IVA WORLDWIDE FUND CL C	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A602	IVA	60	$12	IVA INTERNATIONAL FUND CL C	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
641224423	NEUBERGER BERMAN	60	$12	NEUBERGER BERMAN EMERGING MRTS EQ C	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
64128K769	NEUBERGER BERMAN	60	$12	NEUBERGER BERMAN STRATEGIC INC CL C	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
921075743	VAN ECK	60	$12	VAN ECK GLOBAL HARD ASSETS CLASS C	335 Madison Ave, 19th Fl.	NEW YORK	NY	10017
641224605	NEUBERGER BERMAN	60	$16	NEUBERGER BERMAN SOC RESPONSIVE INV	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
744336108	PRUDENTIAL	60	$12	PRUDENTIAL GLOBAL REAL ESTATE CLASS A	100 Mulberry Street	NEWARK	NJ	7102
74441K305	PRUDENTIAL	60	$12	PRUDENTIAL JENNISON NATURAL RESOURCES C	100 Mulberry Street	NEWARK	NJ	7102
74441R102	PRUDENTIAL	60	$12	PRUDENTIAL SHORT TERM CORP BOND CL A	100 Mulberry Street	NEWARK	NJ	7102
74441R300	PRUDENTIAL	60	$12	PRUDENTIAL SHORT TERM CORP BOND CL C	100 Mulberry Street	NEWARK	NJ	7102
561717638	MANAGERS	60	0.06%	MANAGERS PIMCO BOND FUND	800 Connecticut Ave.	NORWALK	CT	6854
561717463	MANAGERS	60	0.08%	MANAGERS CADENCE MID CAP CLASS INVESTOR	800 Connecticut Ave.	NORWALK	CT	6854
561709734	MANAGERS SKYLINE	60	0.10%	SKYLINE SPECIAL EQUITIES	800 Connecticut Ave.	NORWALK	CT	6854
561717208	MANAGERS	60	0.10%	MANAGERS SPECIAL EQUITY	800 Connecticut Ave.	NORWALK	CT	6854
561717505	MANAGERS	60	0.10%	MANAGERS BOND	800 Connecticut Ave.	NORWALK	CT	6854
561717646	MANAGERS	60	0.10%	MANAGERS REAL ESTATE SECURITIES FUND	800 Connecticut Ave.	NORWALK	CT	6854
561717661	MANAGERS	60	0.10%	MANAGERS MICRO-CAP FUND SERVICE CLASS	800 Connecticut Ave.	NORWALK	CT	6854
561709445	MANAGERS	60	0.40%	YACKTMAN FOCUSED SERVICE CLASS	800 Connecticut Ave.	NORWALK	CT	6854
561709478	MANAGERS	60	0.40%	YACKTMAN FUND SERVICE CLASS	800 Connecticut Ave.	NORWALK	CT	6854
425887205	HENNESSY	60	0.40%	HENNESSY TOTAL RETURN INVESTOR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P205	HENNESSY	60	0.40%	HENNESSY CORNERSTONELARGE GRWTH INV CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P700	HENNESSY	60	0.40%	HENNESSY FOCUS FUND INVESTOR CLASS	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P825	HENNESSY	60	0.40%	HENNESSY EQUITY AND INCOME INVSTR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P833	HENNESSY	60	0.40%	HENNESSY GAS UTILITYINVESTOR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P874	HENNESSY	60	0.40%	HENNESSY SMALL CAP FINANCIAL INVSTR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P882	HENNESSY	60	0.40%	HENNESSY LARGE CAP FINANCIAL INVSTR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
00758M162	ACADIAN FUNDS	60	0.40%	ACADIAN EMERGING MARKETS PORT INSTL	1 Freedom Valley Drive	OAKS	PA	19456
00758M261	CAMBIAR FUNDS	60	0.40%	CAMBIAR OPPORTUNITY INVESTOR CL	1 Freedom Valley Drive	OAKS	PA	19456
0075W0817	CAMBIAR FUNDS	60	0.40%	CAMBIAR SMALL CAP FUND INVESTOR CL	1 Freedom Valley Drive	OAKS	PA	19456
76882K801	RIVERPARK FUNDS	60	0.40%	RIVERPARK SHORT TERMHIGH YIELD RETAIL	One Freedom Valley Drive	OAKS	PA	19456
042765503	ARROW	60	$12	ARROW DWA BALANCED FUND CLASS C	2943 Olney-Sandy Spring Rd Ste A	OLNEY	MD	20832
320269814	FIRST FOCUS	60	0.08%	TRIBUTARY BLANCED FD INSTL	1620 Dodge Street, Stop 1089	OMAHA	NE	68197
466000668	IVY	60	0.40%	IVY HIGH INCOME CL A	6300 Lamar Ave	OVERLAND PARK	KS	66202
466000759	IVY	60	0.40%	IVY ASSET STRATEGY CL A	6300 Lamar Ave	OVERLAND PARK	KS	66202
741479109	T ROWE PRICE	60	0.04%	T ROWE PRICE GROWTH STOCK	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
741480107	T ROWE PRICE	60	0.04%	T ROWE PRICE HEALTH SCIENCES	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P200	T ROWE PRICE	60	0.04%	T ROWE PRICE RET 2020 FUND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P309	T ROWE PRICE	60	0.04%	T ROWE PRICE RET 2030 FD	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P408	T ROWE PRICE	60	0.04%	T ROWE PRICE RET 2040 FD	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P770	T ROWE PRICE	60	0.04%	T ROWE PRICE RETIREMENT 2035 FUND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779546100	T ROWE PRICE	60	0.04%	T ROWE PRICE DIVIDEND GROWTH	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779547108	T ROWE PRICE	60	0.04%	T ROWE PRICE EQUITY INCOME	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77954M105	T ROWE PRICE	60	0.04%	T ROWE PRICE CAP APPRECIATION	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77954Q106	T ROWE PRICE	60	0.04%	T ROWE PRICE BLUE CHIP GROWTH INC	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779556109	T ROWE PRICE	60	0.04%	T ROWE PRICE MID CAP GROWTH	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77956H500	T ROWE PRICE	60	0.04%	T ROWE PRICE NEW ASIA	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77956H856	T ROWE PRICE	60	0.04%	T ROWE PRICE GLOBAL STOCK	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77956H864	T ROWE PRICE	60	0.04%	T ROWE PRICE EMERGING MKTS STOCK	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77956H872	T ROWE PRICE	60	0.04%	T ROWE PRICE INT'L EMERGING MARKET BOND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77957L203	T ROWE PRICE	60	0.04%	T ROWE PRICE PERSONAL STRAT GRWTH	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779919109	T ROWE PRICE	60	0.04%	T ROWE PRICE REAL ESTATE FUND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
56062X807	MAINSTAY CL I & P	60	0.06%	MAINSTAY INTL EQUITY FUND CLASS I	169 Lackawanna Ave	PARSIPPANY	NJ	7454
56063J724	MAINSTAY CL A,B,C	60	0.06%	MAINSTAY ICAP INTL FD CL C	169 Lackawanna Ave	PARSIPPANY	NJ	7454
56064B852	MAINSTAY CL I & P	60	0.06%	MAINSTAY MARKETFIELD FUND CLASS I	169 Lackawanna Ave	PARSIPPANY	NJ	7454
245914676	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE GLOBAL VALUE FUND INSTL CL	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
245914684	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE GLOBAL VALUE FUND CL C	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
245914817	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE EMERGING MKTS FD-INSTITUT CL	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
245914825	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE EMERGING MARKETS CLASS C	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
246097109	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE SMALL CAP VALUE CLASS A	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
24610C881	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE VALUE FD CL A	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
246248744	DELAWARE/VOYAGEUR	60	0.10%	DELAWARE DIVERSIFIED INCOME FD CL A	Pat Dwyer, 2005 Market Street	PHILADELPHIA	PA	19103
378690606	GLENMEDE	60	0.40%	GLENMEDE SMALL CAP EQUITY - ADVISOR CL	1650 Market St. Suite 1200	PHILADELPHIA	PA	19103
34984T402	MERK INVESTMENTS	60	0.40%	MERK HARD CURRENCY FUND INVESTOR CL	Three Canal Plaza, Suite 600	Portland	ME	4100
34984T600	ABSOLUTE FUNDS	60	$16	ABSOLUTE STRATEGIES INSTITUTIONAL	Atlantic Fund Administration, PO Box 588	PORTLAND	ME	4112
020875209	ALPINE	60	0.35%	ALPINE DYNAMIC DIVID FUND	2500 Westchester Avenue Suite 215	PURCHASE	NY	10577
020940409	ALPINE	60	0.35%	ALPINE INTERNATIONALREAL ESTATE EQUITY I	2500 Westchester Avenue Suite 215	PURCHASE	NY	10577
783554405	GUGGENHEIM INVESTOR	60	0.40%	RYDEX INVERSE S&P 500 STRATEGY INV CL	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554603	GUGGENHEIM INVESTOR	60	0.40%	RYDEX NASDAQ 100 INV CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554793	GUGGENHEIM INVESTOR	60	0.40%	RYDEX CONSUMER PRODUCTS INVESTOR CL	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554827	GUGGENHEIM INVESTOR	60	0.40%	RYDEX BIOTECHNOLOGY INV CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850

783554843	GUGGENHEIM INVESTOR	60	0.40%	RYDEX BASIC MATERIALS INV CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78355E353	GUGGENHEIM	60	0.40%	RYDEX BIOTECHNOLOGY FD CL A	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78355E361	GUGGENHEIM	60	0.40%	RYDEX BASIC MATERIALFUND CL A	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78355E726	GUGGENHEIM INVESTOR	60	0.40%	RYDEX MID CAP GROWTH H CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A491	GUGGENHEIM INVESTOR	60	0.40%	GUGGENHEIM MANAGED FUTURES STRAT CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A632	GUGGENHEIM INVESTOR	60	0.40%	RYDEX S&P 500 FD CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A665	GUGGENHEIM INVESTOR	60	0.40%	RYDEX RUSSELL 2000 FD CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A780	GUGGENHEIM INVESTOR	60	0.40%	GUGGENHEIM MULTI HEDGE STRATEGIES H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
362395105	GABELLI/WESTWOOD	60	0.35%	GABELLI ASSET FUND AAA	401 Theodore Fremd. Ave.	RYE	NY	10580
36239T103	GABELLI/WESTWOOD	60	0.35%	GABELLI SMALL CAP GROWTH	401 Theodore Fremd. Ave.	RYE	NY	10580
36239T202	GABELLI/WESTWOOD	60	0.35%	GABELLI EQUITY INCOME FUND	401 Theodore Fremd. Ave.	RYE	NY	10580
36240E103	GABELLI/WESTWOOD	60	0.35%	GABELLI UTILITIES	401 Theodore Fremd. Ave.	RYE	NY	10580
36239R107	GABELLI/WESTWOOD	60	0.40%	GABELLI GOLD FUND CLAAA	401 Theodore Fremd. Ave.	RYE	NY	10580
36239T301	GABELLI/WESTWOOD	60	0.40%	GABELLI FOCUS FIVE FUND CL AAA	401 Theodore Fremd. Ave.	RYE	NY	10580
936772102	WASATCH	60	0.10%	WASATCH SMALL CAP GROWTH	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936772201	WASATCH	60	0.10%	WASATCH CORE GROWTH	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936772300	WASATCH	60	0.10%	WASATCH HOISINGTON US TREASURY	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936793306	WASATCH	60	0.10%	WASATCH WORLD INNOVATORS FUND	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936793405	WASATCH	60	0.10%	WASATCH INTERNATIONAL GROWTH	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936793504	WASATCH	60	0.10%	WASATCH MICRO-CAP VALUE FUND	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936793843	WASATCH	60	0.10%	WASATCH LARGE CAP VALUE FUND	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936793884	WASATCH	60	0.10%	WASATCH EMERGING MARKETS SMALL CAP FD	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
936793819	WASATCH	60	0.40%	WASATCH FRONTIER EMERGING SMALL CO'S	150 Social Hall Ave Suite 400	SALT LAKE CITY	UT	84111
01853W105	ALLIANCE	60	0.10%	ALLIANCEBER GLOBAL BOND CLASS A	8000 IH 10 West Suite 1400r	SAN ANTONIO	TX	78230
903287100	USAA	60	0.10%	USAA PRECIOUS METALS AND MINERALS RETAIL	P.O. Box 34330	SAN ANTONIO	TX	78265
903288280	USAA	60	0.10%	USAA CORNERSTONE AGGRESSIVE FD RETAIL	P.O. Box 34330	SAN ANTONIO	TX	78265
649280401	AMERICAN CLASS F	60	0.12%	AMERICAN NEW WORLD CLASS F1	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
903288371	USAA	60	0.40%	USAA SCIENCE & TECHNOLOGY ADVISER	P.O. Box 34330	SAN ANTONIO	TX	78265
911476208	US GLOBAL INVESTORS	60	0.40%	GLOBAL RESOURCES FUND	7900 Callaghan	SAN ANTONIO	TX	78229
911476802	US GLOBAL INVESTORS	60	0.40%	WORLD PRECIOUS MINERALS FUND	7900 Callaghan	SAN ANTONIO	TX	78229
01859M705	ALLIANCE	60	$6	ALLIANCE BERNSTEIN HIGH INCOME FD CL R	8000 IH 10 West Suite 1400r	SAN ANTONIO	TX	78230
01859M101	ALLIANCE	60	$16	ALLIANCEBERNSTEIN HIGH INCOME CLASS A	8000 IH 10 West Suite 1400r	SAN ANTONIO	TX	78230
018914101	ALLIANCE	60	$16	ALLIANCEBER DISCOVERVALUE FUND CLASS A	8000 IH 10 West Suite 1400r	SAN ANTONIO	TX	78230
024071102	AMERICAN	60	$18	AMERICAN BALANCED CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
027681105	AMERICAN	60	$18	AMERICAN MUTUAL FUNDCLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
140193103	AMERICAN	60	$18	AMERICAN CAPITAL INCOME BUILDER CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
140541103	AMERICAN	60	$18	AMERICAN CAPITAL WORLD BOND CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
140543109	AMERICAN	60	$18	AMERICAN CAPITAL WORLD GRTH & INC A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
298706102	AMERICAN	60	$18	AMERICAN EUROPACIFICGROWTH CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
360802102	AMERICAN	60	$18	AMERICAN FUNDAMENTALINVESTORS CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
399874106	AMERICAN	60	$18	AMERICAN GROWTH FUNDOF AMERICA CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
453320103	AMERICAN	60	$18	AMERICAN INCOME FUND OF AMERICA CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
461308108	AMERICAN	60	$18	AMERICAN INVESTMNT CO OF AMERICA CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
643822109	AMERICAN	60	$18	AMERICAN NEW ECONOMYFUND CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
649280104	AMERICAN	60	$18	AMERICAN NEW WORLD FUND CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
831681101	AMERICAN	60	$18	AMERICAN SMALL CAP WORLD CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
939330106	AMERICAN	60	$18	AMERICAN WASHNTN MUTUAL INVESTRS CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251
949917520	WELLS FARGO	60	0.06%	WELLS FARGO HIGH INCOME INVESTOR	525 Market St	SAN FRANCISCO	CA	94105
94975J227	WELLS FARGO	60	0.08%	WELLS FARGO C&B MID CAP VALUE FD INVT CL	525 Market St	SAN FRANCISCO	CA	94105
94975P389	WELLS FARGO	60	0.08%	WELLS FARGO ADVTG EMG MRKTS EQ INC ADM	525 Market St	SAN FRANCISCO	CA	94105
94984B389	WELLS FARGO	60	0.08%	WELLS FARGO ADV EMERGING MRKTS EQ A	525 Market St	SAN FRANCISCO	CA	94105
94984B496	WELLS FARGO	60	0.08%	WELLS FARGO PREMIER LARGE CO GRWTH A	525 Market St	SAN FRANCISCO	CA	94105
94985D442	WELLS FARGO	60	0.08%	WELLS FARGO ASSET ALLOCATION CL A	525 Market St	SAN FRANCISCO	CA	94105
949915342	WELLS FARGO	60	0.08%	WELLSFARGO DISCOVERY FUND-INVESTOR CL	525 Market St	SAN FRANCISCO	CA	94105
949915490	WELLS FARGO	60	0.08%	WELLS FARGO SPECIAL MID CAP INV	525 Market St	SAN FRANCISCO	CA	94105
949915532	WELLS FARGO	60	0.08%	WELLSFARGO LARGE CAP GROWTH FD-INVESTOR	525 Market St	SAN FRANCISCO	CA	94105
949915680	WELLS FARGO	60	0.08%	WELLS FARGO GROWTH FUND-INVESTOR CLASS	525 Market St	SAN FRANCISCO	CA	94105
949917355	WELLS FARGO	60	0.08%	WELLS FARGO DISCOVERY - INSTL	525 Market St	SAN FRANCISCO	CA	94105
256219106	DODGE & COX	60	0.10%	DODGE & COX STOCK	555 California Street 40th Fl	SAN FRANCISCO	CA	94104
349913798	FORWARD	60	0.10%	FORWARD EMERGING MKTS INV CL	101 California St. Suite 1600	SAN FRANCISCO	CA	94111
349913830	FORWARD	60	0.10%	FORWARD INTERNTL SMALL CO INVESTOR CL	101 California St. Suite 1600	SAN FRANCISCO	CA	94111
74972H705	RS	60	0.10%	RS GLOBAL NATURAL RESOURCES CL A	388 Market St.	SAN FRANCISCO	CA	94111
714199106	PERMANENT PORTFOLIO	60	0.38%	PERMANENT PORTFOLIO	600 Montgomery St. Suite 4100	SAN FRANCISCO	CA	94111
577125107	MATTHEWS ASIAN FDS	60	0.40%	MATTHEWS ASIA DIVIDEND FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130107	MATTHEWS ASIAN FDS	60	0.40%	MATTHEWS PACIFIC TIGER FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130206	MATTHEWS ASIAN FDS	60	0.40%	MATTHEWS ASIAN GROWTH & INCOME FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130701	MATTHEWS ASIAN FDS	60	0.40%	MATTHEWS CHINA FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
701765869	PARNASSUS	60	0.40%	PARNASSUS WORKPLACE	One Market Street Steuart Tower Suite 1600	SAN FRANCISCO	CA	94105
701765877	PARNASSUS	60	0.40%	PARNASSUS SMALL CAP	One Market Street Steuart Tower Suite 1600	SAN FRANCISCO	CA	94105
701765885	PARNASSUS	60	0.40%	PARNASSUS MID CAP	One Market Street Steuart Tower Suite 1600	SAN FRANCISCO	CA	94105
701769101	PARNASSUS	60	0.40%	PARNASSUS EQUITY INCOME PORTFOLIO	One Market Street Steuart Tower Suite 1600	SAN FRANCISCO	CA	94105
808509731	SCHWAB FUNDS	60	0.40%	SCHWAB HEALTH CARE FUND	211 Main Stt	SAN FRANCISCO	CA	94105
808509806	SCHWAB FUNDS	60	0.40%	SCHWAB CORE EQUITY	211 Main Stt	SAN FRANCISCO	CA	94105
885215210	THORNBURG	60	0.10%	THORNBURG STRATEGIC INC FD CL C	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215467	THORNBURG	60	0.10%	THORNBURG INCOME BUILDER CL I	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215541	THORNBURG	60	0.10%	THORNBURG INV INCOME BUILDER FUND CL C	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215558	THORNBURG	60	0.10%	THORNBURG INV INCOME BUILDER FUND CL A	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215640	THORNBURG	60	0.10%	THORNBURG INTL VALUE CLASS C	2300 North Ridgetop Rd	SANTA FE	NM	87506
44978A145	ING	60	0.10%	ING SMALLCAP OPPORTUNITIES CL A	7337 E. Doubletree Ranch Rd	SCOTTSDALE	AZ	85258
44978J104	ING NO LOAD	60	0.10%	ING CORPORATE LEADER TRUST SERIES B CLAS	7337 E. Doubletree Ranch Rd	SCOTTSDALE	AZ	85258
44980Q476	ING	60	0.10%	ING GLOBAL BOND FUND CL C	7337 E. Doubletree Ranch Rd	SCOTTSDALE	AZ	85258
44980R326	ING	60	0.10%	ING GLOBAL REAL ESTATE CL A	7337 E. Doubletree Ranch Rd	SCOTTSDALE	AZ	85258
750869604	RAINIER	60	$16	RAINIER SMALL/MID CAP EQUITY PORT INST	601 Union Street Ste 2801	SEATTLE	WA	98101
353496300	FRANKLIN TEMPLETON	60	$16	FRANKLIN INCOME CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
353496805	FRANKLIN TEMPLETON	60	$16	FRANKLIN INCOME CLASS C	100 Fountain Parkway	ST. PETERSBURG	FL	33716
353538101	FRANKLIN TEMPLETON	60	$16	FRANKLIN HIGH INCOMEFD CL A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
353825102	FRANKLIN TEMPLETON	60	$16	FRANKLIN RISING DIVIDENDS CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
354713505	FRANKLIN TEMPLETON	60	$16	FRANKLIN STRATEGIC INCOME CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
354728305	FRANKLIN TEMPLETON	60	$16	FRANKLIN TEMPLETON HARD CURRENCY A	100 Fountain Parkway	ST. PETERSBURG	FL	33716

35472P844	FRANKLIN TEMPLETON	60	$16	FRANKLIN FOUNDING FDPORTFOLIO CL A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
355148867	FRANKLIN TEMPLETON	60	$16	FRANKLIN BALANCE SHEET INVEST CL C	100 Fountain Parkway	ST. PETERSBURG	FL	33716
628380602	FRANKLIN TEMPLETON	60	$16	MUTUAL SERIES MUTUALSHARES CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
628380701	FRANKLIN TEMPLETON	60	$16	MUTUAL SERIES MUTUALSHARES CLASS C	100 Fountain Parkway	ST. PETERSBURG	FL	33716
628380834	FRANKLIN TEMPLETON	60	$16	MUTUAL SERIES MUTUALEUROPEAN CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
880196100	FRANKLIN TEMPLETON	60	$16	TEMPLETON WORLD CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
88019R781	FRANKLIN TEMPLETON	60	$16	TEMPLETON GLOBAL BALANCED CL C1	100 Fountain Parkway	ST. PETERSBURG	FL	33716
880208103	FRANKLIN TEMPLETON	60	$16	TEMPLETON GLOBAL BOND CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
880208301	FRANKLIN TEMPLETON	60	$16	TEMPLETON GLOBAL BOND CLASS C	100 Fountain Parkway	ST. PETERSBURG	FL	33716
893509240	TRANSAMERICA	60	$16	TRANSAMERICA INTL EQUITY CL A	570 Carillon Parkway MB 305E600	St. Petersburg	FL	33716
901165100	TWEEDY BROWNE	60	$14	TWEEDY BROWNE GLOBAL VALUE FUND	One Station Place, 5th Floor	STAMFORD	CT	6902
901165209	TWEEDY BROWNE	60	$14	TWEEDY BROWNE VALUE FUND	One Station Place, 5th Floor	STAMFORD	CT	6902
239080104	DAVIS	60	0.08%	DAVIS NEW YORK VENTURE CLASS A	2949 East Elvira Road Suite 101	TUCSON	AZ	85756
261942106	DREYFUS	60	0.08%	DREYFUS GROWTH & INCOME	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261967202	DREYFUS	60	0.08%	DREYFUS INTER-TERM INCOME A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261970107	DREYFUS	60	0.08%	DREYFUS APPRECIATION FUND	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261978340	DREYFUS	60	0.08%	DREYFUS DISCIPLINED STOCK	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261980668	DREYFUS	60	0.08%	DREYFUS INTERTNAT'L BOND FUND CL I	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261980684	DREYFUS	60	0.08%	DREYFUS INTLBD FD CL A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
26200C403	DREYFUS	60	0.08%	DREYFUS OPPORT SMALL CAP FUND	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
26203H201	DREYFUS	60	0.08%	DREYFUS RESEARCH GROWTH FD CL A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
712223106	DREYFUS	60	0.08%	DREYFUS MIDCAP INDEX FUND	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
86271F743	DREYFUS	60	0.40%	DREYFUS US EQUITY FUND CL A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
314172370	FEDERATED LOADED	60	0.10%	FEDERATED INTL STRAT VALUE DIVIDEND CL C	4000 Ericsson Drive	Warrendale	PA	15086
31417P502	FEDERATED LOADED	60	0.10%	FEDERATED STRATEGIC INCOME CLASS A	4000 Ericsson Drive	Warrendale	PA	15086
314195108	FEDERATED LOADED	60	0.10%	FEDERATED HIGH INCOME BOND CLASS A	4000 Ericsson Drive	Warrendale	PA	15086
314197104	FEDERATED INSTL	60	0.10%	FEDERATED HIGH YIELD TRUST SS	4000 Ericsson Drive	Warrendale	PA	15086
31420C878	FEDERATED LOADED	60	0.10%	FEDERATED CAPITAL INCOME CL A	4000 Ericsson Drive	Warrendale	PA	15086
31420F103	FEDERATED LOADED	60	0.10%	FEDERATED BOND CLASS A	4000 Ericsson Drive	Warrendale	PA	15086
31428P301	FEDERATED	60	$12	FEDERATED US GOV'T SECURITIES 2-5 CL R	4000 Ericsson Drive	Warrendale	PA	15086
339128308	JP MORGAN	60	0.05%	JPMORGAN MID CAP VALUE FUND CLASS A	460 Polaris Parkway	Westerville	OH	43082
4812A0649	JP MORGAN	60	0.05%	JPMORGAN INTREPID EUROPEAN CLASS A	460 Polaris Parkway	Westerville	OH	43082
4812A3270	JP MORGAN	60	0.05%	JPMORGAN INCOME BUILDER FUND CLASS C	460 Polaris Parkway	Westerville	OH	43082
4812A3288	JP MORGAN	60	0.05%	JP MORGAN INCOME BUILDER FUND CL A	460 Polaris Parkway	Westerville	OH	43082
4812A3502	JP MORGAN	60	0.05%	JPMORGAN SMART RET 2020 CLASS A	460 Polaris Parkway	Westerville	OH	43082
4812A4385	JP MORGAN	60	0.05%	JP MORGAN STRATEGIC INCOME OPPORT A	460 Polaris Parkway	Westerville	OH	43082
4812C0464	JP MORGAN	60	0.05%	JPMORGAN EQUITY INCOME FUND CL A	460 Polaris Parkway	Westerville	OH	43082
4812C1488	JP MORGAN	60	0.05%	JPMORGAN INTREPID MID CAP FUND CLASS A	460 Polaris Parkway	Westerville	OH	43082
961323102	WESTPORT	60	0.40%	WESTPORT FUND CLASS R	253 Riverside Ave.	WESTPORT	CT	6880
961323201	WESTPORT	60	0.40%	WESTPORT SELECT CAP CLASS R	253 Riverside Ave.	WESTPORT	CT	6880
62827L682	CATALYST	60	0.40%	EVENTIDE GILEAD FUND CLASS N	630-A Fitzwatertown Rd 2nd Fl	WILLOW GROVE	PA	19090
62827L609	CATALYST	60	$12	CATALYST SMH HIGH INCOME FUND CL A	630-A Fitzwatertown Rd 2nd Fl	WILLOW GROVE	PA	19090
749255121	ROBECO INVT MGMT	60	0.40%	ROBECO BOSTON PRTNS ALL CAP VALUE INVT	103 Bellevue Parkway	WILMINGTON	DE	19809
749255261	ROBECO INVT MGMT	60	$16	ROBECO BOSTON PRTNRSLONGSHORT EQTY INSTL	103 Bellevue Parkway	WILMINGTON	DE	19809
416645406	HARTFORD	60	0.10%	HARTFORD CAPITAL APPRECIATION CL A	500 Bielenberg Drive	WOODBURY	MN	55125
416645638	HARTFORD	60	0.10%	HARTFORD CAPITAL APPRECIATION CL C	500 Bielenberg Drive	WOODBURY	MN	55125
416648533	HARTFORD	60	0.10%	HARTFORD FLOATING RATE CL C	500 Bielenberg Drive	WOODBURY	MN	55125
416648558	HARTFORD	60	0.10%	HARTFORD FLOATING RATE FUND CLASS A	500 Bielenberg Drive	WOODBURY	MN	55125

DUKE ENERGY
RETIREMENT SAVINGS PLAN
EIN: 20-2777218 PN: 002
Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)
December 31, 2013

(IN THOUSANDS)

(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 Market Value
*	Duke Energy Common Stock Fund	Common Stock	**	$1,903,025
*	US Equity Small/Midcap Blend Fund	Institutional Fund	**	506,432
*	US Equity All Cap Blend Fund	Institutional Fund	**	64,186
*	Non-US Equity Blend Fund	Institutional Fund	**	359,933
*	Fixed Income Blend Fund	Institutional Fund	**	317,344
*	US Equity S&P 500 Index Fund	Institutional Fund	**	1,427,099
*	Target Retirement Date Fund 2010	Institutional Fund	**	33,201
*	Target Retirement Date Fund 2015	Institutional Fund	**	117,310
*	Target Retirement Date Fund 2020	Institutional Fund	**	192,356
*	Target Retirement Date Fund 2025	Institutional Fund	**	147,207
*	Target Retirement Date Fund 2030	Institutional Fund	**	123,468
*	Target Retirement Date Fund 2035	Institutional Fund	**	50,783
*	Target Retirement Date Fund 2040	Institutional Fund	**	57,964
*	Target Retirement Date Fund 2045	Institutional Fund	**	57,192
*	Target Retirement Date Fund 2050	Institutional Fund	**	25,489
*	Target Retirement Date Fund 2055	Institutional Fund	**	10,557
*	Target Retirement Date Fund Post Retirement	Institutional Fund	**	42,280
	BrokerageLink	Self-directed brokerage account	**	513,380
	Stable Value Fund	Common Collective Trust Fund	**	618,956
	Global Real Estate Investment Trust Fund	Institutional Fund	**	15,471
	Total Investments			$6,583,633
*	Notes Receivable from Participants	Participant Loans Interest Rates ranging from 3.25% - 10.50% with maturities through 2028	**	120,884
	Total			$ 6,704,517

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