

|                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                         |
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| <b>Form 5500</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security<br>Administration<br><br>Pension Benefit Guaranty Corporation | <b>Annual Return/Report of Employee Benefit Plan</b><br><br>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).<br><br><p style="text-align: center;">▶ <b>Complete all entries in accordance with the instructions to the Form 5500.</b></p> | OMB Nos. 1210-0110<br>1210-0089<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
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|                                                                                                          |                                                                                                                                                                                                                                           |
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| <b>Part I</b>                                                                                            | <b>Annual Report Identification Information</b>                                                                                                                                                                                           |
| For calendar plan year 2013 or fiscal plan year beginning <u>01/01/2013</u> and ending <u>12/31/2013</u> |                                                                                                                                                                                                                                           |
| A This return/report is for:                                                                             | <input type="checkbox"/> a multiemployer plan; <input type="checkbox"/> a multiple-employer plan; or<br><input checked="" type="checkbox"/> a single-employer plan; <input type="checkbox"/> a DFE (specify) ____                         |
| B This return/report is:                                                                                 | <input type="checkbox"/> the first return/report; <input type="checkbox"/> the final return/report;<br><input type="checkbox"/> an amended return/report; <input type="checkbox"/> a short plan year return/report (less than 12 months). |
| C If the plan is a collectively-bargained plan, check here. . . . .                                      | <input type="checkbox"/>                                                                                                                                                                                                                  |
| D Check box if filing under:                                                                             | <input checked="" type="checkbox"/> Form 5558; <input type="checkbox"/> automatic extension; <input type="checkbox"/> the DFVC program;<br><input type="checkbox"/> special extension (enter description)                                 |

|                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|------------|-------------------------------------------------------|--|---------------------------------------------------------------------|--|-------------------------------------------------------------|--|-------------------------------------------------------------|--|
| <b>Part II</b>                                                                                                                                                                                                               | <b>Basic Plan Information</b> —enter all requested information                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
| <b>1a</b> Name of plan<br><u>SPX US PENSION PLAN</u>                                                                                                                                                                         | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"><b>1b</b> Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>003</u></td> </tr> <tr> <td colspan="2"><b>1c</b> Effective date of plan<br/><u>01/01/1956</u></td> </tr> <tr> <td colspan="2"><b>2b</b> Employer Identification Number (EIN)<br/><u>38-1016240</u></td> </tr> <tr> <td colspan="2"><b>2c</b> Sponsor's telephone number<br/><u>704-752-4400</u></td> </tr> <tr> <td colspan="2"><b>2d</b> Business code (see instructions)<br/><u>336300</u></td> </tr> </table> | <b>1b</b> Three-digit plan number (PN) ▶ | <u>003</u> | <b>1c</b> Effective date of plan<br><u>01/01/1956</u> |  | <b>2b</b> Employer Identification Number (EIN)<br><u>38-1016240</u> |  | <b>2c</b> Sponsor's telephone number<br><u>704-752-4400</u> |  | <b>2d</b> Business code (see instructions)<br><u>336300</u> |  |
| <b>1b</b> Three-digit plan number (PN) ▶                                                                                                                                                                                     | <u>003</u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
| <b>1c</b> Effective date of plan<br><u>01/01/1956</u>                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
| <b>2b</b> Employer Identification Number (EIN)<br><u>38-1016240</u>                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
| <b>2c</b> Sponsor's telephone number<br><u>704-752-4400</u>                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
| <b>2d</b> Business code (see instructions)<br><u>336300</u>                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |
| <b>2a</b> Plan sponsor's name and address; include room or suite number (employer, if for a single-employer plan)<br><br><u>SPX CORPORATION</u><br><br><u>13320 BALLANTYNE CORPORATE PLACE</u><br><u>CHARLOTTE, NC 28277</u> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                          |            |                                                       |  |                                                                     |  |                                                             |  |                                                             |  |

**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.

|                                                                                                            |                                                   |            |                                                              |
|------------------------------------------------------------------------------------------------------------|---------------------------------------------------|------------|--------------------------------------------------------------|
| <b>SIGN HERE</b>                                                                                           | Filed with authorized/valid electronic signature. | 10/15/2014 | SUSAN DUPUIS                                                 |
|                                                                                                            | Signature of plan administrator                   | Date       | Enter name of individual signing as plan administrator       |
| <b>SIGN HERE</b>                                                                                           |                                                   |            |                                                              |
|                                                                                                            | Signature of employer/plan sponsor                | Date       | Enter name of individual signing as employer or plan sponsor |
| <b>SIGN HERE</b>                                                                                           |                                                   |            |                                                              |
|                                                                                                            | 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)                       |

|                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>3a</b> Plan administrator's name and address <input type="checkbox"/> Same as Plan Sponsor Name <input checked="" type="checkbox"/> Same as Plan Sponsor Address<br><br>ADMINISTRATIVE COMMITTEE - SPX                                                                                                                                                                                                                             |  | <b>3b</b> Administrator's EIN<br>62-1734313                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|                                                                                                                                                                                                                                                                                                                                                                                                                                       |  | <b>3c</b> Administrator's telephone number<br>704-752-4400                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>4</b> 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:<br><b>a</b> Sponsor's name                                                                                                                                                                                                                     |  | <b>4b</b> EIN<br><br><b>4c</b> PN                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>5</b> Total number of participants at the beginning of the plan year                                                                                                                                                                                                                                                                                                                                                               |  | <b>5</b> 28451                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>6</b> Number of participants as of the end of the plan year (welfare plans complete only lines <b>6a</b> , <b>6b</b> , <b>6c</b> , and <b>6d</b> ).                                                                                                                                                                                                                                                                                |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>a</b> Active participants .....                                                                                                                                                                                                                                                                                                                                                                                                    |  | <b>6a</b> 1600                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>b</b> Retired or separated participants receiving benefits .....                                                                                                                                                                                                                                                                                                                                                                   |  | <b>6b</b> 11967                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>c</b> Other retired or separated participants entitled to future benefits .....                                                                                                                                                                                                                                                                                                                                                    |  | <b>6c</b> 9455                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>d</b> Subtotal. Add lines <b>6a</b> , <b>6b</b> , and <b>6c</b> .....                                                                                                                                                                                                                                                                                                                                                              |  | <b>6d</b> 23022                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>e</b> Deceased participants whose beneficiaries are receiving or are entitled to receive benefits .....                                                                                                                                                                                                                                                                                                                            |  | <b>6e</b> 3685                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>f</b> Total. Add lines <b>6d</b> and <b>6e</b> .....                                                                                                                                                                                                                                                                                                                                                                               |  | <b>6f</b> 26707                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>g</b> Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) .....                                                                                                                                                                                                                                                                                       |  | <b>6g</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>h</b> Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested .....                                                                                                                                                                                                                                                                                           |  | <b>6h</b> 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>7</b> Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) .....                                                                                                                                                                                                                                                                                                  |  | <b>7</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>8a</b> If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:<br>1A 1C 3H                                                                                                                                                                                                                                                              |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>b</b> If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:                                                                                                                                                                                                                                                                           |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>9a</b> Plan funding arrangement (check all that apply)<br>(1) <input checked="" type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor                                                                                                                              |  | <b>9b</b> Plan benefit arrangement (check all that apply)<br>(1) <input checked="" type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor                                                                                                                                                                                                                         |
| <b>10</b> Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)                                                                                                                                                                                                                                                                     |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>a Pension Schedules</b><br>(1) <input checked="" type="checkbox"/> <b>R</b> (Retirement Plan Information)<br><br>(2) <input type="checkbox"/> <b>MB</b> (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary<br><br>(3) <input checked="" type="checkbox"/> <b>SB</b> (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary |  | <b>b General Schedules</b><br>(1) <input checked="" type="checkbox"/> <b>H</b> (Financial Information)<br>(2) <input type="checkbox"/> <b>I</b> (Financial Information – Small Plan)<br>(3) <input checked="" type="checkbox"/> <u>5</u> <b>A</b> (Insurance Information)<br>(4) <input checked="" type="checkbox"/> <b>C</b> (Service Provider Information)<br>(5) <input checked="" type="checkbox"/> <b>D</b> (DFE/Participating Plan Information)<br>(6) <input type="checkbox"/> <b>G</b> (Financial Transaction Schedules) |

|                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                           |                                                                                           |
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| <b>SCHEDULE A</b><br><b>(Form 5500)</b><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security Administration<br><br>Pension Benefit Guaranty Corporation | <b>Insurance Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br>▶ <b>File as an attachment to Form 5500.</b><br><br>▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2). | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
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|                                                                                            |                                             |
|--------------------------------------------------------------------------------------------|---------------------------------------------|
| For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013 |                                             |
| <b>A</b> Name of plan<br>SPX US PENSION PLAN                                               | <b>B</b> Three-digit plan number (PN) ▶ 003 |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br>SPX CORPORATION           |                                             |
| <b>D</b> Employer Identification Number (EIN)<br>38-1016240                                |                                             |

|               |                                                                                                                                                                                                                                                     |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part I</b> | <b>Information Concerning Insurance Contract Coverage, Fees, and Commissions</b> Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A. |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**1** Coverage Information:

**(a)** Name of insurance carrier  
EQUITABLE LIFE INSURANCE COMPANY

| (b) EIN    | (c) NAIC code | (d) Contract or identification number | (e) Approximate number of persons covered at end of policy or contract year | Policy or contract year |            |
|------------|---------------|---------------------------------------|-----------------------------------------------------------------------------|-------------------------|------------|
|            |               |                                       |                                                                             | (f) From                | (g) To     |
| 13-5570651 | 62944         | GA1039                                | 0                                                                           | 01/01/2013              | 12/31/2013 |

**2** Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

|                                             |                                      |
|---------------------------------------------|--------------------------------------|
| <b>(a)</b> Total amount of commissions paid | <b>(b)</b> Total amount of fees paid |
| 0                                           | 0                                    |

**3** Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

**Part II Investment and Annuity Contract Information**

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**4** Current value of plan's interest under this contract in the general account at year end ..... **4** 20732**5** Current value of plan's interest under this contract in separate accounts at year end ..... **5****6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶**b** Premiums paid to carrier ..... **6b****c** Premiums due but unpaid at the end of the year ..... **6c****d** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. .... **6d**

Specify nature of costs ▶

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity(3) ☐ other (specify) ▶**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee(3) ☐ guaranteed investment (4) ☐ other ▶**b** Balance at the end of the previous year ..... **7b****c** Additions: (1) Contributions deposited during the year ..... **7c(1)**(2) Dividends and credits ..... **7c(2)**(3) Interest credited during the year ..... **7c(3)**(4) Transferred from separate account ..... **7c(4)**(5) Other (specify below) ..... **7c(5)**

▶

(6) Total additions ..... **7c(6)****d** Total of balance and additions (add lines **7b** and **7c(6)**) ..... **7d****e** Deductions:(1) Disbursed from fund to pay benefits or purchase annuities during year ..... **7e(1)**(2) Administration charge made by carrier ..... **7e(2)**(3) Transferred to separate account ..... **7e(3)**(4) Other (specify below) ..... **7e(4)**

▶

(5) Total deductions ..... **7e(5)****f** Balance at the end of the current year (subtract line **7e(5)** from line **7d**) ..... **7f**

**Part III Welfare Benefit Contract Information**

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)     
 **b** ☐ Dental     
 **c** ☐ Vision     
 **d** ☐ Life insurance  
**e** ☐ Temporary disability (accident and sickness)     
 **f** ☐ Long-term disability     
 **g** ☐ Supplemental unemployment     
 **h** ☐ Prescription drug  
**i** ☐ Stop loss (large deductible)     
 **j** ☐ HMO contract     
 **k** ☐ PPO contract     
 **l** ☐ Indemnity contract  
**m** ☐ Other (specify) ▶

**9** Experience-rated contracts:

|                                                                                                                                                   |                 |                 |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|--|
| <b>a</b> Premiums: (1) Amount received.....                                                                                                       | <b>9a(1)</b>    |                 |  |
| (2) Increase (decrease) in amount due but unpaid.....                                                                                             | <b>9a(2)</b>    |                 |  |
| (3) Increase (decrease) in unearned premium reserve .....                                                                                         | <b>9a(3)</b>    |                 |  |
| (4) Earned ((1) + (2) - (3)).....                                                                                                                 |                 | <b>9a(4)</b>    |  |
| <b>b</b> Benefit charges (1) Claims paid.....                                                                                                     | <b>9b(1)</b>    |                 |  |
| (2) Increase (decrease) in claim reserves.....                                                                                                    | <b>9b(2)</b>    |                 |  |
| (3) Incurred claims (add (1) and (2)).....                                                                                                        |                 | <b>9b(3)</b>    |  |
| (4) Claims charged .....                                                                                                                          |                 | <b>9b(4)</b>    |  |
| <b>c</b> Remainder of premium: (1) Retention charges (on an accrual basis) --                                                                     |                 |                 |  |
| (A) Commissions .....                                                                                                                             | <b>9c(1)(A)</b> |                 |  |
| (B) Administrative service or other fees.....                                                                                                     | <b>9c(1)(B)</b> |                 |  |
| (C) Other specific acquisition costs .....                                                                                                        | <b>9c(1)(C)</b> |                 |  |
| (D) Other expenses.....                                                                                                                           | <b>9c(1)(D)</b> |                 |  |
| (E) Taxes .....                                                                                                                                   | <b>9c(1)(E)</b> |                 |  |
| (F) Charges for risks or other contingencies.....                                                                                                 | <b>9c(1)(F)</b> |                 |  |
| (G) Other retention charges .....                                                                                                                 | <b>9c(1)(G)</b> |                 |  |
| (H) Total retention .....                                                                                                                         |                 | <b>9c(1)(H)</b> |  |
| (2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.)..... |                 | <b>9c(2)</b>    |  |
| <b>d</b> Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement .....                               |                 | <b>9d(1)</b>    |  |
| (2) Claim reserves .....                                                                                                                          |                 | <b>9d(2)</b>    |  |
| (3) Other reserves.....                                                                                                                           |                 | <b>9d(3)</b>    |  |
| <b>e</b> Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).).....                                           |                 | <b>9e</b>       |  |

**10** Nonexperience-rated contracts:

|                                                                                                                                                                                                                                |            |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Total premiums or subscription charges paid to carrier .....                                                                                                                                                          | <b>10a</b> |  |
| <b>b</b> If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount..... | <b>10b</b> |  |

Specify nature of costs ▶

**Part IV Provision of Information**

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ..... ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

|                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                           |                                                                                                       |
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| <b>SCHEDULE A</b><br><b>(Form 5500)</b><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><hr/> <small>Department of Labor<br/>Employee Benefits Security Administration</small><br><hr/> <small>Pension Benefit Guaranty Corporation</small> | <b>Insurance Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br><b>► File as an attachment to Form 5500.</b><br><br>► Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2). | OMB No. 1210-0110<br><br><hr/> <b>2013</b><br><br><hr/> <b>This Form is Open to Public Inspection</b> |
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| For calendar plan year 2013 or fiscal plan year beginning <b>01/01/2013</b> and ending <b>12/31/2013</b> |                                                                    |            |
| <b>A</b> Name of plan<br><b>SPX US PENSION PLAN</b>                                                      | <b>B</b> Three-digit plan number (PN)                              | <b>003</b> |
|                                                                                                          |                                                                    |            |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><b>SPX CORPORATION</b>                  | <b>D</b> Employer Identification Number (EIN)<br><b>38-1016240</b> |            |

|               |                                                                                                                                                                                                                                                     |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part I</b> | <b>Information Concerning Insurance Contract Coverage, Fees, and Commissions</b> Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A. |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**1** Coverage Information:

**(a)** Name of insurance carrier

**EQUITABLE LIFE INSURANCE COMPANY**

| (b) EIN    | (c) NAIC code | (d) Contract or identification number | (e) Approximate number of persons covered at end of policy or contract year | Policy or contract year |            |
|------------|---------------|---------------------------------------|-----------------------------------------------------------------------------|-------------------------|------------|
|            |               |                                       |                                                                             | (f) From                | (g) To     |
| 13-5570651 | 62944         | 74877                                 | 0                                                                           | 01/01/2013              | 12/31/2013 |

**2** Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

|                                      |                               |
|--------------------------------------|-------------------------------|
| (a) Total amount of commissions paid | (b) Total amount of fees paid |
| 0                                    | 0                             |

**3** Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

**Part II Investment and Annuity Contract Information**

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**4** Current value of plan's interest under this contract in the general account at year end ..... **4** 602780**5** Current value of plan's interest under this contract in separate accounts at year end ..... **5****6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶**b** Premiums paid to carrier ..... **6b****c** Premiums due but unpaid at the end of the year ..... **6c****d** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. .... **6d**

Specify nature of costs ▶

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity(3) ☐ other (specify) ▶**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee(3) ☐ guaranteed investment (4) ☐ other ▶**b** Balance at the end of the previous year ..... **7b****c** Additions: (1) Contributions deposited during the year ..... **7c(1)**(2) Dividends and credits ..... **7c(2)**(3) Interest credited during the year ..... **7c(3)**(4) Transferred from separate account ..... **7c(4)**(5) Other (specify below) ..... **7c(5)**

▶

(6) Total additions ..... **7c(6)****d** Total of balance and additions (add lines **7b** and **7c(6)**) ..... **7d****e** Deductions:(1) Disbursed from fund to pay benefits or purchase annuities during year ..... **7e(1)**(2) Administration charge made by carrier ..... **7e(2)**(3) Transferred to separate account ..... **7e(3)**(4) Other (specify below) ..... **7e(4)**

▶

(5) Total deductions ..... **7e(5)****f** Balance at the end of the current year (subtract line **7e(5)** from line **7d**) ..... **7f**

**Part III Welfare Benefit Contract Information**

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)     
 **b** ☐ Dental     
 **c** ☐ Vision     
 **d** ☐ Life insurance  
**e** ☐ Temporary disability (accident and sickness)     
 **f** ☐ Long-term disability     
 **g** ☐ Supplemental unemployment     
 **h** ☐ Prescription drug  
**i** ☐ Stop loss (large deductible)     
 **j** ☐ HMO contract     
 **k** ☐ PPO contract     
 **l** ☐ Indemnity contract  
**m** ☐ Other (specify) ▶

**9** Experience-rated contracts:

|                                                                                                                                                   |                 |                 |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|--|
| <b>a</b> Premiums: (1) Amount received.....                                                                                                       | <b>9a(1)</b>    |                 |  |
| (2) Increase (decrease) in amount due but unpaid.....                                                                                             | <b>9a(2)</b>    |                 |  |
| (3) Increase (decrease) in unearned premium reserve .....                                                                                         | <b>9a(3)</b>    |                 |  |
| (4) Earned ((1) + (2) - (3)).....                                                                                                                 |                 | <b>9a(4)</b>    |  |
| <b>b</b> Benefit charges (1) Claims paid.....                                                                                                     | <b>9b(1)</b>    |                 |  |
| (2) Increase (decrease) in claim reserves.....                                                                                                    | <b>9b(2)</b>    |                 |  |
| (3) Incurred claims (add (1) and (2)).....                                                                                                        |                 | <b>9b(3)</b>    |  |
| (4) Claims charged.....                                                                                                                           |                 | <b>9b(4)</b>    |  |
| <b>c</b> Remainder of premium: (1) Retention charges (on an accrual basis) --                                                                     |                 |                 |  |
| (A) Commissions .....                                                                                                                             | <b>9c(1)(A)</b> |                 |  |
| (B) Administrative service or other fees.....                                                                                                     | <b>9c(1)(B)</b> |                 |  |
| (C) Other specific acquisition costs .....                                                                                                        | <b>9c(1)(C)</b> |                 |  |
| (D) Other expenses.....                                                                                                                           | <b>9c(1)(D)</b> |                 |  |
| (E) Taxes .....                                                                                                                                   | <b>9c(1)(E)</b> |                 |  |
| (F) Charges for risks or other contingencies.....                                                                                                 | <b>9c(1)(F)</b> |                 |  |
| (G) Other retention charges .....                                                                                                                 | <b>9c(1)(G)</b> |                 |  |
| (H) Total retention.....                                                                                                                          |                 | <b>9c(1)(H)</b> |  |
| (2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.)..... |                 | <b>9c(2)</b>    |  |
| <b>d</b> Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement .....                               |                 | <b>9d(1)</b>    |  |
| (2) Claim reserves .....                                                                                                                          |                 | <b>9d(2)</b>    |  |
| (3) Other reserves.....                                                                                                                           |                 | <b>9d(3)</b>    |  |
| <b>e</b> Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).).....                                           |                 | <b>9e</b>       |  |

**10** Nonexperience-rated contracts:

|                                                                                                                                                                                                                                |            |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Total premiums or subscription charges paid to carrier .....                                                                                                                                                          | <b>10a</b> |  |
| <b>b</b> If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount..... | <b>10b</b> |  |

Specify nature of costs ▶

**Part IV Provision of Information**

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ..... ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                           |                                               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|
| <b>SCHEDULE A</b><br><b>(Form 5500)</b><br>Department of the Treasury<br>Internal Revenue Service<br><hr/> Department of Labor<br>Employee Benefits Security Administration<br><hr/> Pension Benefit Guaranty Corporation | <b>Insurance Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br><b>► File as an attachment to Form 5500.</b><br><br>► Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2). | OMB No. 1210-0110                             |
|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                           | <b>2013</b>                                   |
|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                           | <b>This Form is Open to Public Inspection</b> |

|                                                                                                          |                                                                    |            |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|------------|
| For calendar plan year 2013 or fiscal plan year beginning <b>01/01/2013</b> and ending <b>12/31/2013</b> |                                                                    |            |
| <b>A</b> Name of plan<br><b>SPX US PENSION PLAN</b>                                                      | <b>B</b> Three-digit plan number (PN) ►                            | <b>003</b> |
|                                                                                                          |                                                                    |            |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><b>SPX CORPORATION</b>                  | <b>D</b> Employer Identification Number (EIN)<br><b>38-1016240</b> |            |

|               |                                                                                                                                                                                                                                                     |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part I</b> | <b>Information Concerning Insurance Contract Coverage, Fees, and Commissions</b> Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A. |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                |
|--------------------------------|
| <b>1</b> Coverage Information: |
|--------------------------------|

| <b>(a)</b> Name of insurance carrier<br><b>EQUITABLE LIFE INSURANCE COMPANY</b> |                      |                                              |                                                                                    |                         |                   |
|---------------------------------------------------------------------------------|----------------------|----------------------------------------------|------------------------------------------------------------------------------------|-------------------------|-------------------|
| <b>(b)</b> EIN                                                                  | <b>(c)</b> NAIC code | <b>(d)</b> Contract or identification number | <b>(e)</b> Approximate number of persons covered at end of policy or contract year | Policy or contract year |                   |
|                                                                                 |                      |                                              |                                                                                    | <b>(f)</b> From         | <b>(g)</b> To     |
| <b>13-5570651</b>                                                               | <b>62944</b>         | <b>GA1403</b>                                | <b>0</b>                                                                           | <b>01/01/2013</b>       | <b>12/31/2013</b> |

|                                                                                                                                                                                                   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>2</b> Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid. |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                             |                                      |
|---------------------------------------------|--------------------------------------|
| <b>(a)</b> Total amount of commissions paid | <b>(b)</b> Total amount of fees paid |
| <b>0</b>                                    | <b>0</b>                             |

|                                                                                                              |
|--------------------------------------------------------------------------------------------------------------|
| <b>3</b> Persons receiving commissions and fees. (Complete as many entries as needed to report all persons). |
|--------------------------------------------------------------------------------------------------------------|

|                                                                                                         |
|---------------------------------------------------------------------------------------------------------|
| <b>(a)</b> Name and address of the agent, broker, or other person to whom commissions or fees were paid |
|---------------------------------------------------------------------------------------------------------|

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

|                                                                                                         |
|---------------------------------------------------------------------------------------------------------|
| <b>(a)</b> Name and address of the agent, broker, or other person to whom commissions or fees were paid |
|---------------------------------------------------------------------------------------------------------|

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

**Part II Investment and Annuity Contract Information**

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**4** Current value of plan's interest under this contract in the general account at year end ..... **4** 63844**5** Current value of plan's interest under this contract in separate accounts at year end ..... **5****6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶**b** Premiums paid to carrier ..... **6b****c** Premiums due but unpaid at the end of the year ..... **6c****d** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. .... **6d**

Specify nature of costs ▶

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity(3) ☐ other (specify) ▶**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee(3) ☐ guaranteed investment (4) ☐ other ▶**b** Balance at the end of the previous year ..... **7b****c** Additions: (1) Contributions deposited during the year ..... **7c(1)**(2) Dividends and credits ..... **7c(2)**(3) Interest credited during the year ..... **7c(3)**(4) Transferred from separate account ..... **7c(4)**(5) Other (specify below) ..... **7c(5)**

▶

(6) Total additions ..... **7c(6)****d** Total of balance and additions (add lines **7b** and **7c(6)**) ..... **7d****e** Deductions:(1) Disbursed from fund to pay benefits or purchase annuities during year ..... **7e(1)**(2) Administration charge made by carrier ..... **7e(2)**(3) Transferred to separate account ..... **7e(3)**(4) Other (specify below) ..... **7e(4)**

▶

(5) Total deductions ..... **7e(5)****f** Balance at the end of the current year (subtract line **7e(5)** from line **7d**) ..... **7f**

**Part III Welfare Benefit Contract Information**

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)     
 **b** ☐ Dental     
 **c** ☐ Vision     
 **d** ☐ Life insurance  
**e** ☐ Temporary disability (accident and sickness)     
 **f** ☐ Long-term disability     
 **g** ☐ Supplemental unemployment     
 **h** ☐ Prescription drug  
**i** ☐ Stop loss (large deductible)     
 **j** ☐ HMO contract     
 **k** ☐ PPO contract     
 **l** ☐ Indemnity contract  
**m** ☐ Other (specify) ▶

**9** Experience-rated contracts:

|                                                                                                                                                   |                 |                 |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|--|
| <b>a</b> Premiums: (1) Amount received.....                                                                                                       | <b>9a(1)</b>    |                 |  |
| (2) Increase (decrease) in amount due but unpaid.....                                                                                             | <b>9a(2)</b>    |                 |  |
| (3) Increase (decrease) in unearned premium reserve .....                                                                                         | <b>9a(3)</b>    |                 |  |
| (4) Earned ((1) + (2) - (3)).....                                                                                                                 |                 | <b>9a(4)</b>    |  |
| <b>b</b> Benefit charges (1) Claims paid.....                                                                                                     | <b>9b(1)</b>    |                 |  |
| (2) Increase (decrease) in claim reserves.....                                                                                                    | <b>9b(2)</b>    |                 |  |
| (3) Incurred claims (add (1) and (2)).....                                                                                                        |                 | <b>9b(3)</b>    |  |
| (4) Claims charged .....                                                                                                                          |                 | <b>9b(4)</b>    |  |
| <b>c</b> Remainder of premium: (1) Retention charges (on an accrual basis) --                                                                     |                 |                 |  |
| (A) Commissions .....                                                                                                                             | <b>9c(1)(A)</b> |                 |  |
| (B) Administrative service or other fees.....                                                                                                     | <b>9c(1)(B)</b> |                 |  |
| (C) Other specific acquisition costs .....                                                                                                        | <b>9c(1)(C)</b> |                 |  |
| (D) Other expenses.....                                                                                                                           | <b>9c(1)(D)</b> |                 |  |
| (E) Taxes .....                                                                                                                                   | <b>9c(1)(E)</b> |                 |  |
| (F) Charges for risks or other contingencies.....                                                                                                 | <b>9c(1)(F)</b> |                 |  |
| (G) Other retention charges .....                                                                                                                 | <b>9c(1)(G)</b> |                 |  |
| (H) Total retention .....                                                                                                                         |                 | <b>9c(1)(H)</b> |  |
| (2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.)..... |                 | <b>9c(2)</b>    |  |
| <b>d</b> Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement .....                               |                 | <b>9d(1)</b>    |  |
| (2) Claim reserves .....                                                                                                                          |                 | <b>9d(2)</b>    |  |
| (3) Other reserves.....                                                                                                                           |                 | <b>9d(3)</b>    |  |
| <b>e</b> Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).).....                                           |                 | <b>9e</b>       |  |

**10** Nonexperience-rated contracts:

|                                                                                                                                                                                                                                |            |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Total premiums or subscription charges paid to carrier .....                                                                                                                                                          | <b>10a</b> |  |
| <b>b</b> If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount..... | <b>10b</b> |  |

Specify nature of costs ▶

**Part IV Provision of Information**

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ..... ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

|                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                           |                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>SCHEDULE A</b><br><b>(Form 5500)</b><br>Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | <b>Insurance Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br>▶ <b>File as an attachment to Form 5500.</b><br><br>▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2). | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|

|                                                                                            |                                                             |
|--------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013 |                                                             |
| <b>A</b> Name of plan<br>SPX US PENSION PLAN                                               | <b>B</b> Three-digit plan number (PN) ▶ 003                 |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br>SPX CORPORATION           | <b>D</b> Employer Identification Number (EIN)<br>38-1016240 |

|               |                                                                                                                                                                                                                                                     |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part I</b> | <b>Information Concerning Insurance Contract Coverage, Fees, and Commissions</b> Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A. |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**1** Coverage Information:

(a) Name of insurance carrier  
MASSACHUSETTS MUTUAL INSURANCE CO.

| (b) EIN    | (c) NAIC code | (d) Contract or identification number | (e) Approximate number of persons covered at end of policy or contract year | Policy or contract year |            |
|------------|---------------|---------------------------------------|-----------------------------------------------------------------------------|-------------------------|------------|
|            |               |                                       |                                                                             | (f) From                | (g) To     |
| 04-1590850 | 65935         | DA-149                                | 0                                                                           | 01/01/2013              | 12/31/2013 |

**2** Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

|                                      |                               |
|--------------------------------------|-------------------------------|
| (a) Total amount of commissions paid | (b) Total amount of fees paid |
| 0                                    | 0                             |

**3** Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

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**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

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| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

**Part II Investment and Annuity Contract Information**

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**4** Current value of plan's interest under this contract in the general account at year end ..... **4** 173377**5** Current value of plan's interest under this contract in separate accounts at year end ..... **5****6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶**b** Premiums paid to carrier ..... **6b****c** Premiums due but unpaid at the end of the year ..... **6c****d** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. .... **6d**

Specify nature of costs ▶

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity(3) ☐ other (specify) ▶**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee(3) ☐ guaranteed investment (4) ☐ other ▶**b** Balance at the end of the previous year ..... **7b****c** Additions: (1) Contributions deposited during the year ..... **7c(1)**(2) Dividends and credits ..... **7c(2)**(3) Interest credited during the year ..... **7c(3)**(4) Transferred from separate account ..... **7c(4)**(5) Other (specify below) ..... **7c(5)**

▶

(6) Total additions ..... **7c(6)****d** Total of balance and additions (add lines **7b** and **7c(6)**) ..... **7d****e** Deductions:(1) Disbursed from fund to pay benefits or purchase annuities during year ..... **7e(1)**(2) Administration charge made by carrier ..... **7e(2)**(3) Transferred to separate account ..... **7e(3)**(4) Other (specify below) ..... **7e(4)**

▶

(5) Total deductions ..... **7e(5)****f** Balance at the end of the current year (subtract line **7e(5)** from line **7d**) ..... **7f**

**Part III Welfare Benefit Contract Information**

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)     
 **b** ☐ Dental     
 **c** ☐ Vision     
 **d** ☐ Life insurance  
**e** ☐ Temporary disability (accident and sickness)     
 **f** ☐ Long-term disability     
 **g** ☐ Supplemental unemployment     
 **h** ☐ Prescription drug  
**i** ☐ Stop loss (large deductible)     
 **j** ☐ HMO contract     
 **k** ☐ PPO contract     
 **l** ☐ Indemnity contract  
**m** ☐ Other (specify) ▶

**9** Experience-rated contracts:

|                                                                                                                                                   |                 |                 |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|--|
| <b>a</b> Premiums: (1) Amount received.....                                                                                                       | <b>9a(1)</b>    |                 |  |
| (2) Increase (decrease) in amount due but unpaid.....                                                                                             | <b>9a(2)</b>    |                 |  |
| (3) Increase (decrease) in unearned premium reserve .....                                                                                         | <b>9a(3)</b>    |                 |  |
| (4) Earned ((1) + (2) - (3)).....                                                                                                                 |                 | <b>9a(4)</b>    |  |
| <b>b</b> Benefit charges (1) Claims paid.....                                                                                                     | <b>9b(1)</b>    |                 |  |
| (2) Increase (decrease) in claim reserves.....                                                                                                    | <b>9b(2)</b>    |                 |  |
| (3) Incurred claims (add (1) and (2)).....                                                                                                        |                 | <b>9b(3)</b>    |  |
| (4) Claims charged.....                                                                                                                           |                 | <b>9b(4)</b>    |  |
| <b>c</b> Remainder of premium: (1) Retention charges (on an accrual basis) --                                                                     |                 |                 |  |
| (A) Commissions .....                                                                                                                             | <b>9c(1)(A)</b> |                 |  |
| (B) Administrative service or other fees.....                                                                                                     | <b>9c(1)(B)</b> |                 |  |
| (C) Other specific acquisition costs .....                                                                                                        | <b>9c(1)(C)</b> |                 |  |
| (D) Other expenses.....                                                                                                                           | <b>9c(1)(D)</b> |                 |  |
| (E) Taxes .....                                                                                                                                   | <b>9c(1)(E)</b> |                 |  |
| (F) Charges for risks or other contingencies.....                                                                                                 | <b>9c(1)(F)</b> |                 |  |
| (G) Other retention charges .....                                                                                                                 | <b>9c(1)(G)</b> |                 |  |
| (H) Total retention.....                                                                                                                          |                 | <b>9c(1)(H)</b> |  |
| (2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.)..... |                 | <b>9c(2)</b>    |  |
| <b>d</b> Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement .....                               |                 | <b>9d(1)</b>    |  |
| (2) Claim reserves .....                                                                                                                          |                 | <b>9d(2)</b>    |  |
| (3) Other reserves.....                                                                                                                           |                 | <b>9d(3)</b>    |  |
| <b>e</b> Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).).....                                           |                 | <b>9e</b>       |  |

**10** Nonexperience-rated contracts:

|                                                                                                                                                                                                                                |            |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Total premiums or subscription charges paid to carrier .....                                                                                                                                                          | <b>10a</b> |  |
| <b>b</b> If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount..... | <b>10b</b> |  |

Specify nature of costs ▶

**Part IV Provision of Information**

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ..... ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

|                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                           |                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>SCHEDULE A</b><br><b>(Form 5500)</b><br>Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | <b>Insurance Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br>▶ <b>File as an attachment to Form 5500.</b><br><br>▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2). | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|

|                                                                                            |                                         |     |
|--------------------------------------------------------------------------------------------|-----------------------------------------|-----|
| For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013 |                                         |     |
| <b>A</b> Name of plan<br>SPX US PENSION PLAN                                               | <b>B</b> Three-digit plan number (PN) ▶ | 003 |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br>SPX CORPORATION           |                                         |     |
| <b>D</b> Employer Identification Number (EIN)<br>38-1016240                                |                                         |     |

|               |                                                                                                                                                                                                                                                     |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part I</b> | <b>Information Concerning Insurance Contract Coverage, Fees, and Commissions</b> Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A. |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**1** Coverage Information:

**(a)** Name of insurance carrier  
MANUFACTURERS LIFE INSURANCE CO.

| (b) EIN    | (c) NAIC code | (d) Contract or identification number | (e) Approximate number of persons covered at end of policy or contract year | Policy or contract year |            |
|------------|---------------|---------------------------------------|-----------------------------------------------------------------------------|-------------------------|------------|
|            |               |                                       |                                                                             | (f) From                | (g) To     |
| 01-0233346 | 65838         | 33483                                 | 0                                                                           | 01/01/2013              | 12/31/2013 |

**2** Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

|                                             |                                      |
|---------------------------------------------|--------------------------------------|
| <b>(a)</b> Total amount of commissions paid | <b>(b)</b> Total amount of fees paid |
| 0                                           | 0                                    |

**3** Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| (b) Amount of sales and base commissions paid | Fees and other commissions paid |             | (e) Organization code |
|-----------------------------------------------|---------------------------------|-------------|-----------------------|
|                                               | (c) Amount                      | (d) Purpose |                       |
|                                               |                                 |             |                       |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

---

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

---

| <b>(b)</b> Amount of sales and base commissions paid | Fees and other commissions paid |                    | <b>(e)</b> Organization code |
|------------------------------------------------------|---------------------------------|--------------------|------------------------------|
|                                                      | <b>(c)</b> Amount               | <b>(d)</b> Purpose |                              |
|                                                      |                                 |                    |                              |

**Part II Investment and Annuity Contract Information**

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**4** Current value of plan's interest under this contract in the general account at year end ..... **4** 622798**5** Current value of plan's interest under this contract in separate accounts at year end ..... **5****6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶**b** Premiums paid to carrier ..... **6b****c** Premiums due but unpaid at the end of the year ..... **6c****d** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. .... **6d**

Specify nature of costs ▶

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity(3) ☐ other (specify) ▶**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee(3) ☐ guaranteed investment (4) ☐ other ▶**b** Balance at the end of the previous year ..... **7b****c** Additions: (1) Contributions deposited during the year ..... **7c(1)**(2) Dividends and credits ..... **7c(2)**(3) Interest credited during the year ..... **7c(3)**(4) Transferred from separate account ..... **7c(4)**(5) Other (specify below) ..... **7c(5)**

▶

(6) Total additions ..... **7c(6)****d** Total of balance and additions (add lines **7b** and **7c(6)**) ..... **7d****e** Deductions:(1) Disbursed from fund to pay benefits or purchase annuities during year ..... **7e(1)**(2) Administration charge made by carrier ..... **7e(2)**(3) Transferred to separate account ..... **7e(3)**(4) Other (specify below) ..... **7e(4)**

▶

(5) Total deductions ..... **7e(5)****f** Balance at the end of the current year (subtract line **7e(5)** from line **7d**) ..... **7f**

**Part III Welfare Benefit Contract Information**

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)     
**b** ☐ Dental     
**c** ☐ Vision     
**d** ☐ Life insurance  
**e** ☐ Temporary disability (accident and sickness)     
**f** ☐ Long-term disability     
**g** ☐ Supplemental unemployment     
**h** ☐ Prescription drug  
**i** ☐ Stop loss (large deductible)     
**j** ☐ HMO contract     
**k** ☐ PPO contract     
**l** ☐ Indemnity contract  
**m** ☐ Other (specify) ▶

**9** Experience-rated contracts:

|                                                                                                                                                   |                 |                 |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|--|
| <b>a</b> Premiums: (1) Amount received.....                                                                                                       | <b>9a(1)</b>    |                 |  |
| (2) Increase (decrease) in amount due but unpaid.....                                                                                             | <b>9a(2)</b>    |                 |  |
| (3) Increase (decrease) in unearned premium reserve .....                                                                                         | <b>9a(3)</b>    |                 |  |
| (4) Earned ((1) + (2) - (3)).....                                                                                                                 |                 | <b>9a(4)</b>    |  |
| <b>b</b> Benefit charges (1) Claims paid.....                                                                                                     | <b>9b(1)</b>    |                 |  |
| (2) Increase (decrease) in claim reserves.....                                                                                                    | <b>9b(2)</b>    |                 |  |
| (3) Incurred claims (add (1) and (2)).....                                                                                                        |                 | <b>9b(3)</b>    |  |
| (4) Claims charged.....                                                                                                                           |                 | <b>9b(4)</b>    |  |
| <b>c</b> Remainder of premium: (1) Retention charges (on an accrual basis) --                                                                     |                 |                 |  |
| (A) Commissions .....                                                                                                                             | <b>9c(1)(A)</b> |                 |  |
| (B) Administrative service or other fees.....                                                                                                     | <b>9c(1)(B)</b> |                 |  |
| (C) Other specific acquisition costs .....                                                                                                        | <b>9c(1)(C)</b> |                 |  |
| (D) Other expenses.....                                                                                                                           | <b>9c(1)(D)</b> |                 |  |
| (E) Taxes .....                                                                                                                                   | <b>9c(1)(E)</b> |                 |  |
| (F) Charges for risks or other contingencies.....                                                                                                 | <b>9c(1)(F)</b> |                 |  |
| (G) Other retention charges .....                                                                                                                 | <b>9c(1)(G)</b> |                 |  |
| (H) Total retention.....                                                                                                                          |                 | <b>9c(1)(H)</b> |  |
| (2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.)..... |                 | <b>9c(2)</b>    |  |
| <b>d</b> Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement .....                               |                 | <b>9d(1)</b>    |  |
| (2) Claim reserves .....                                                                                                                          |                 | <b>9d(2)</b>    |  |
| (3) Other reserves.....                                                                                                                           |                 | <b>9d(3)</b>    |  |
| <b>e</b> Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).).....                                           |                 | <b>9e</b>       |  |

**10** Nonexperience-rated contracts:

|                                                                                                                                                                                                                                |            |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Total premiums or subscription charges paid to carrier .....                                                                                                                                                          | <b>10a</b> |  |
| <b>b</b> If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount..... | <b>10b</b> |  |
| Specify nature of costs ▶                                                                                                                                                                                                      |            |  |

**Part IV Provision of Information**

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ..... ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

|                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                    |                                                                                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>SCHEDULE SB</b><br><b>(Form 5500)</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security Administration<br><br>Pension Benefit Guaranty Corporation | <b>Single-Employer Defined Benefit Plan</b><br><b>Actuarial Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).<br><br>▶ <b>File as an attachment to Form 5500 or 5500-SF.</b> | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|

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

▶ **Round off amounts to nearest dollar.**

▶ **Caution:** A penalty of \$1,000 will be assessed for late filing of this report unless reasonable cause is established.

|                                                                                                                                           |                                                                                                                                                         |
|-------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>A</b> Name of plan<br><u>SPX US PENSION PLAN</u>                                                                                       | <b>B</b> Three-digit plan number (PN) ▶ <u>003</u>                                                                                                      |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF<br><u>SPX CORPORATION</u>                                        | <b>D</b> Employer Identification Number (EIN)<br><u>38-1016240</u>                                                                                      |
| <b>E</b> Type of plan: <input checked="" type="checkbox"/> Single <input type="checkbox"/> Multiple-A <input type="checkbox"/> Multiple-B | <b>F</b> Prior year plan size: <input type="checkbox"/> 100 or fewer <input type="checkbox"/> 101-500 <input checked="" type="checkbox"/> More than 500 |

|                                                                                                                                                                                                                |                                                                                                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <b>Part I</b>                                                                                                                                                                                                  | <b>Basic Information</b>                                                                            |
| <b>1</b> Enter the valuation date: Month _____ Day _____ Year _____                                                                                                                                            |                                                                                                     |
| <b>2</b> Assets:                                                                                                                                                                                               |                                                                                                     |
| <b>a</b> Market value .....                                                                                                                                                                                    | <b>2a</b> <u>1209312920</u>                                                                         |
| <b>b</b> Actuarial value .....                                                                                                                                                                                 | <b>2b</b> <u>1171179130</u>                                                                         |
| <b>3</b> Funding target/participant count breakdown:                                                                                                                                                           |                                                                                                     |
| <b>a</b> For retired participants and beneficiaries receiving payment.....                                                                                                                                     | <b>3a</b> <u>15729</u> <b>(1) Number of participants</b> <u>577973568</u> <b>(2) Funding Target</b> |
| <b>b</b> For terminated vested participants.....                                                                                                                                                               | <b>3b</b> <u>10982</u> <u>294721082</u>                                                             |
| <b>c</b> For active participants:                                                                                                                                                                              |                                                                                                     |
| <b>(1)</b> Non-vested benefits .....                                                                                                                                                                           | <b>3c(1)</b> <u>1271702</u>                                                                         |
| <b>(2)</b> Vested benefits .....                                                                                                                                                                               | <b>3c(2)</b> <u>87124684</u>                                                                        |
| <b>(3)</b> Total active.....                                                                                                                                                                                   | <b>3c(3)</b> <u>1740</u> <u>88396386</u>                                                            |
| <b>d</b> Total.....                                                                                                                                                                                            | <b>3d</b> <u>28451</u> <u>961091036</u>                                                             |
| <b>4</b> If the plan is in at-risk status, check the box and complete lines (a) and (b)..... <input type="checkbox"/>                                                                                          |                                                                                                     |
| <b>a</b> Funding target disregarding prescribed at-risk assumptions .....                                                                                                                                      | <b>4a</b>                                                                                           |
| <b>b</b> Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor..... | <b>4b</b>                                                                                           |
| <b>5</b> Effective interest rate .....                                                                                                                                                                         | <b>5</b> <u>6.22 %</u>                                                                              |
| <b>6</b> Target normal cost .....                                                                                                                                                                              | <b>6</b> <u>9842136</u>                                                                             |

**Statement by Enrolled Actuary**

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

|                                                                  |  |                                        |
|------------------------------------------------------------------|--|----------------------------------------|
| <b>SIGN HERE</b>                                                 |  | <u>10/07/2014</u>                      |
| Signature of actuary                                             |  | Date                                   |
| <u>MEGAN FOSTER</u>                                              |  | <u>14-07582</u>                        |
| Type or print name of actuary                                    |  | Most recent enrollment number          |
| <u>TOWERS WATSON DELAWARE INC.</u>                               |  | <u>248-936-7700</u>                    |
| Firm name                                                        |  | Telephone number (including area code) |
| <u>28411 NORTHWESTERN HIGHWAY</u><br><u>SOUTHFIELD, MI 48034</u> |  |                                        |
| Address of the firm                                              |  |                                        |

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions ☐

**For Paperwork Reduction Act Notice and OMB Control Numbers, see the instructions for Form 5500 or 5500-SF.**

**Schedule SB (Form 5500) 2013**  
**v. 130118**

| Part II Beginning of Year Carryover and Prefunding Balances                                                                         |                       |                        |
|-------------------------------------------------------------------------------------------------------------------------------------|-----------------------|------------------------|
|                                                                                                                                     | (a) Carryover balance | (b) Prefunding balance |
| 7 Balance at beginning of prior year after applicable adjustments (line 13 from prior year) .....                                   | 0                     | 0                      |
| 8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year) .....                                | 0                     | 0                      |
| 9 Amount remaining (line 7 minus line 8) .....                                                                                      | 0                     | 0                      |
| 10 Interest on line 9 using prior year's actual return of <u>13.15</u> % .....                                                      |                       |                        |
| 11 Prior year's excess contributions to be added to prefunding balance:                                                             |                       |                        |
| a Present value of excess contributions (line 38a from prior year) .....                                                            |                       | 249590467              |
| b Interest on (a) using prior year's effective interest rate of <u>6.90</u> % except as otherwise provided (see instructions) ..... |                       | 17221742               |
| c Total available at beginning of current plan year to add to prefunding balance .....                                              |                       | 266812209              |
| d Portion of (c) to be added to prefunding balance .....                                                                            |                       | 266800000              |
| 12 Other reductions in balances due to elections or deemed elections .....                                                          | 0                     | 66600000               |
| 13 Balance at beginning of current year (line 9 + line 10 + line 11d – line 12) .....                                               | 0                     | 200200000              |

| Part III Funding Percentages                                                                                                                                        |    |          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----------|
| 14 Funding target attainment percentage .....                                                                                                                       | 14 | 101.02 % |
| 15 Adjusted funding target attainment percentage .....                                                                                                              | 15 | 121.85 % |
| 16 Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement ..... | 16 | 93.69 %  |
| 17 If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage .....                                        | 17 | %        |

| Part IV Contributions and Liquidity Shortfalls                                    |                                   |                                 |                          |                                   |                                 |
|-----------------------------------------------------------------------------------|-----------------------------------|---------------------------------|--------------------------|-----------------------------------|---------------------------------|
| 18 Contributions made to the plan for the plan year by employer(s) and employees: |                                   |                                 |                          |                                   |                                 |
| (a) Date<br>(MM-DD-YYYY)                                                          | (b) Amount paid by<br>employer(s) | (c) Amount paid by<br>employees | (a) Date<br>(MM-DD-YYYY) | (b) Amount paid by<br>employer(s) | (c) Amount paid by<br>employees |
|                                                                                   |                                   |                                 |                          |                                   |                                 |
|                                                                                   |                                   |                                 |                          |                                   |                                 |
|                                                                                   |                                   |                                 |                          |                                   |                                 |
|                                                                                   |                                   |                                 |                          |                                   |                                 |
|                                                                                   |                                   |                                 |                          |                                   |                                 |
|                                                                                   |                                   |                                 |                          |                                   |                                 |
| Totals ►                                                                          |                                   |                                 | 18(b)                    | 0                                 | 18(c) 0                         |

|                                                                                                                               |                                                                     |   |
|-------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|---|
| 19 Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year: |                                                                     |   |
| a Contributions allocated toward unpaid minimum required contributions from prior years. ....                                 | 19a                                                                 |   |
| b Contributions made to avoid restrictions adjusted to valuation date .....                                                   | 19b                                                                 |   |
| c Contributions allocated toward minimum required contribution for current year adjusted to valuation date .....              | 19c                                                                 | 0 |
| 20 Quarterly contributions and liquidity shortfalls:                                                                          |                                                                     |   |
| a Did the plan have a "funding shortfall" for the prior year? .....                                                           | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |   |
| b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? .....              | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |   |
| c If line 20a is "Yes," see instructions and complete the following table as applicable:                                      |                                                                     |   |

| Liquidity shortfall as of end of quarter of this plan year |         |         |         |
|------------------------------------------------------------|---------|---------|---------|
| (1) 1st                                                    | (2) 2nd | (3) 3rd | (4) 4th |
| 0                                                          | 0       | 0       | 0       |

**Part V Assumptions Used to Determine Funding Target and Target Normal Cost**

|                                                                                                                                                                                              |                       |                       |                        |                                                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-----------------------|------------------------|-----------------------------------------------------|
| <b>21</b> Discount rate:                                                                                                                                                                     |                       |                       |                        |                                                     |
| <b>a</b> Segment rates:                                                                                                                                                                      | 1st segment:<br>4.94% | 2nd segment:<br>6.15% | 3rd segment:<br>6.76 % | <input type="checkbox"/> N/A, full yield curve used |
| <b>b</b> Applicable month (enter code).....                                                                                                                                                  |                       |                       |                        | <b>21b</b> 4                                        |
| <b>22</b> Weighted average retirement age .....                                                                                                                                              |                       |                       |                        | <b>22</b> 64                                        |
| <b>23</b> Mortality table(s) (see instructions) <input type="checkbox"/> Prescribed - combined <input checked="" type="checkbox"/> Prescribed - separate <input type="checkbox"/> Substitute |                       |                       |                        |                                                     |

**Part VI Miscellaneous Items**

|                                                                                                                                                                        |                                                                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| <b>24</b> Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment. .... | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>25</b> Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment. ....                                      | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| <b>26</b> Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment. ....                            | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>27</b> If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment. ....                                   | <b>27</b>                                                           |

**Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years**

|                                                                                                                                     |           |   |
|-------------------------------------------------------------------------------------------------------------------------------------|-----------|---|
| <b>28</b> Unpaid minimum required contributions for all prior years .....                                                           | <b>28</b> | 0 |
| <b>29</b> Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a)..... | <b>29</b> |   |
| <b>30</b> Remaining amount of unpaid minimum required contributions (line 28 minus line 29) .....                                   | <b>30</b> | 0 |

**Part VIII Minimum Required Contribution For Current Year**

| <b>31</b> Target normal cost and excess assets (see instructions):                                                                                                                   |                                                                                                                                                                                                                                                                                                                              |                   |                    |  |                     |             |                                                      |   |   |                                                |   |   |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|--------------------|--|---------------------|-------------|------------------------------------------------------|---|---|------------------------------------------------|---|---|
| <b>a</b> Target normal cost (line 6).....                                                                                                                                            | <b>31a</b>                                                                                                                                                                                                                                                                                                                   | 9842136           |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>b</b> Excess assets, if applicable, but not greater than line 31a .....                                                                                                           | <b>31b</b>                                                                                                                                                                                                                                                                                                                   | 9842136           |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>32</b> Amortization installments:                                                                                                                                                 | <table border="1"> <thead> <tr> <th></th> <th>Outstanding Balance</th> <th>Installment</th> </tr> </thead> <tbody> <tr> <td><b>a</b> Net shortfall amortization installment.....</td> <td>0</td> <td>0</td> </tr> <tr> <td><b>b</b> Waiver amortization installment .....</td> <td>0</td> <td>0</td> </tr> </tbody> </table> |                   |                    |  | Outstanding Balance | Installment | <b>a</b> Net shortfall amortization installment..... | 0 | 0 | <b>b</b> Waiver amortization installment ..... | 0 | 0 |
|                                                                                                                                                                                      | Outstanding Balance                                                                                                                                                                                                                                                                                                          | Installment       |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>a</b> Net shortfall amortization installment.....                                                                                                                                 | 0                                                                                                                                                                                                                                                                                                                            | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>b</b> Waiver amortization installment .....                                                                                                                                       | 0                                                                                                                                                                                                                                                                                                                            | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>33</b> If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount ..... | <b>33</b>                                                                                                                                                                                                                                                                                                                    | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>34</b> Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33)...                                                            | <b>34</b>                                                                                                                                                                                                                                                                                                                    | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
|                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                              | Carryover balance | Prefunding balance |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>35</b> Balances elected for use to offset funding requirement.....                                                                                                                | 0                                                                                                                                                                                                                                                                                                                            | 0                 | 0                  |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>36</b> Additional cash requirement (line 34 minus line 35).....                                                                                                                   | <b>36</b>                                                                                                                                                                                                                                                                                                                    | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>37</b> Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c).....                                                   | <b>37</b>                                                                                                                                                                                                                                                                                                                    | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>38</b> Present value of excess contributions for current year (see instructions)                                                                                                  |                                                                                                                                                                                                                                                                                                                              |                   |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>a</b> Total (excess, if any, of line 37 over line 36) .....                                                                                                                       | <b>38a</b>                                                                                                                                                                                                                                                                                                                   | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>b</b> Portion included in line 38a attributable to use of prefunding and funding standard carryover balances .....                                                                | <b>38b</b>                                                                                                                                                                                                                                                                                                                   | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>39</b> Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37) .....                                                                      | <b>39</b>                                                                                                                                                                                                                                                                                                                    | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |
| <b>40</b> Unpaid minimum required contributions for all years .....                                                                                                                  | <b>40</b>                                                                                                                                                                                                                                                                                                                    | 0                 |                    |  |                     |             |                                                      |   |   |                                                |   |   |

**Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)**

|                                                                                                |                                                                                                                         |  |  |
|------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|--|--|
| <b>41</b> If an election was made to use PRA 2010 funding relief for this plan:                |                                                                                                                         |  |  |
| <b>a</b> Schedule elected .....                                                                | <input type="checkbox"/> 2 plus 7 years <input type="checkbox"/> 15 years                                               |  |  |
| <b>b</b> Eligible plan year(s) for which the election in line 41a was made .....               | <input type="checkbox"/> 2008 <input type="checkbox"/> 2009 <input type="checkbox"/> 2010 <input type="checkbox"/> 2011 |  |  |
| <b>42</b> Amount of acceleration adjustment .....                                              | <b>42</b>                                                                                                               |  |  |
| <b>43</b> Excess installment acceleration amount to be carried over to future plan years ..... | <b>43</b>                                                                                                               |  |  |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                        |                                                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|
| <b>SCHEDULE C</b><br><b>(Form 5500)</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security Administration<br><br>Pension Benefit Guaranty Corporation | <b>Service Provider Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br>▶ <b>File as an attachment to Form 5500.</b> | OMB No. 1210-0110                              |
|                                                                                                                                                                                                                           |                                                                                                                                                                                                                        | <b>2013</b>                                    |
|                                                                                                                                                                                                                           |                                                                                                                                                                                                                        | <b>This Form is Open to Public Inspection.</b> |

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

|                                                                                  |                                                             |     |
|----------------------------------------------------------------------------------|-------------------------------------------------------------|-----|
| <b>A</b> Name of plan<br>SPX US PENSION PLAN                                     | <b>B</b> Three-digit plan number (PN) ▶                     | 003 |
|                                                                                  |                                                             |     |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br>SPX CORPORATION | <b>D</b> Employer Identification Number (EIN)<br>38-1016240 |     |

**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)..... ☒ 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>(b)</b> Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation |
| BAIRD ADVISORS                                                                                                    |
| 39-6037917                                                                                                        |

|                                                                                                                  |
|------------------------------------------------------------------------------------------------------------------|
| <b>(b)</b> Enter name and EIN or address of person who provided you disclosure on eligible indirect compensation |
| BRIDGEWATER ASSOCIATES, LP                                                                                       |
| ONE GLENDINNING PLACE<br>WESTPORT, CT 06880                                                                      |

|                                                                                                                   |
|-------------------------------------------------------------------------------------------------------------------|
| <b>(b)</b> Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation |
| PACIFIC INV. MGT. CO. LLC                                                                                         |
| 33-0629048                                                                                                        |

|                                                                                                                   |
|-------------------------------------------------------------------------------------------------------------------|
| <b>(b)</b> Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation |
|-------------------------------------------------------------------------------------------------------------------|

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

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

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

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

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

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

TOWERS WATSON DELAWARE INC.

53-0181291

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 11 13 50               | NONE                                                                                              | 4638493                                                                | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

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

BROWN BROTHERS HARRIMAN & CO.

13-9973745

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51                  | NONE                                                                                              | 594452                                                                 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

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

MORGAN STANLEY INV. MGT. INC.

13-3040307

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51 68               | NONE                                                                                              | 545970                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

**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)

JPMORGAN CHASE BANK NA

13-3200244

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 21 50                  | NONE                                                                                              | 503788                                                                 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

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

MELLON CAPITAL MGT.

25-6078093

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51 99               | NONE                                                                                              | 482834                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

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

DEPRINCE, RACE AND ZOLLO

59-3299598

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51                  | NONE                                                                                              | 314863                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

**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)

SPRUCEGROVE INVESTMENT MGT LTD

23-1511735

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51 68               | NONE                                                                                              | 268694                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                          |

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

UBS GLOBAL ASSET MGT (AMERICAS) INC

36-3664388

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51 68               | NONE                                                                                              | 228931                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                          |

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

NEW ENGLAND PENSION CONSULTANTS

04-2927339

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 27 50                  | NONE                                                                                              | 225049                                                                 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

**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)

BLACKROCK INSTITUTIONAL TRUST CO.

94-3112180

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 21 24 28 50 51 68      | NONE                                                                                              | 200012                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

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

WENTWORTH, HAUSER AND VIOLICH

94-1598234

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51 68               | NONE                                                                                              | 178828                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                          |

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

PYRAMIS GLOBAL ADVISORS LLC

04-3532603

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 28 51 68               | NONE                                                                                              | 95000                                                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                          |

**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)

JPMORGAN ASSET MANAGEMENT

13-3200244

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 27 28 50 51            | NONE                                                                                              | 54000                                                                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

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

PLANTE & MORAN PLLC

38-1357951

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 10 50                  | NONE                                                                                              | 44363                                                                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

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

JENNER & BLOCK LLC

36-2192554

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>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)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 29 50                  | NONE                                                                                              | 26677                                                                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                  | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

**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)

INDEPENDENT INSURANCE ANALYSTS LLC

17 RUTHIES LANE  
WEST SIMSBURY, CT 06092

| (b)<br>Service<br>Code(s) | (c)<br>Relationship to<br>employer, employee<br>organization, or<br>person known to be<br>a party-in-interest | (d)<br>Enter direct<br>compensation paid<br>by the plan. If none,<br>enter -0-. | (e)<br>Did service provider<br>receive indirect<br>compensation? (sources<br>other than plan or plan<br>sponsor) | (f)<br>Did indirect compensation<br>include eligible indirect<br>compensation, for which the<br>plan received the required<br>disclosures? | (g)<br>Enter total indirect<br>compensation received by<br>service provider excluding<br>eligible indirect<br>compensation for which you<br>answered "Yes" to element<br>(f). If none, enter -0-. | (h)<br>Did the service<br>provider give you a<br>formula instead of<br>an amount or<br>estimated amount? |
|---------------------------|---------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| 23 50                     | NONE                                                                                                          | 20000                                                                           | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                                              | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                                   |                                                                                                                                                                                                   | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                 |

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

STATE STREET GLOBAL MARKETS LLC

04-3464336

| (b)<br>Service<br>Code(s) | (c)<br>Relationship to<br>employer, employee<br>organization, or<br>person known to be<br>a party-in-interest | (d)<br>Enter direct<br>compensation paid<br>by the plan. If none,<br>enter -0-. | (e)<br>Did service provider<br>receive indirect<br>compensation? (sources<br>other than plan or plan<br>sponsor) | (f)<br>Did indirect compensation<br>include eligible indirect<br>compensation, for which the<br>plan received the required<br>disclosures? | (g)<br>Enter total indirect<br>compensation received by<br>service provider excluding<br>eligible indirect<br>compensation for which you<br>answered "Yes" to element<br>(f). If none, enter -0-. | (h)<br>Did the service<br>provider give you a<br>formula instead of<br>an amount or<br>estimated amount? |
|---------------------------|---------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| 28 51 68 99               | NONE                                                                                                          | 11758                                                                           | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                              | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                                        | 0                                                                                                                                                                                                 | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                      |

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

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

**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<br>(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<br>(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<br>(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 |
|--------------------------------------------------------------------------|-------------------------------|-------------------------------------------------------------------------------------|
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |

**Part III** **Termination Information on Accountants and Enrolled Actuaries (see instructions)**  
(complete as many entries as needed)

|                                                                                                            |                                  |
|------------------------------------------------------------------------------------------------------------|----------------------------------|
| <b>a</b> Name: MARY ROSE                                                                                   | <b>b</b> EIN: 53-0181291         |
| <b>c</b> Position: ACTUARY                                                                                 |                                  |
| <b>d</b> Address: TOWERS WATSON DELAWARE INC.<br>28411 NORTHWESTERN HWY, SUITE 500<br>SOUTHFIELD, MI 48034 | <b>e</b> Telephone: 248-936-7700 |
|                                                                                                            |                                  |

Explanation: DUE TO INTERNAL CLIENT REASSIGNMENT, THE SIGNING ACTUARY HAS CHANGED FROM MARY ROSE TO MEGAN FOSTER, BUT THE ACTUARIAL FIRM REMAINS TOWERS WATSON.

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                                                                                                                                                                                                               |                                                                                                                                                                                                                              |                                                                                            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <b>SCHEDULE D</b><br><b>(Form 5500)</b><br><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><br><small>Department of Labor<br/>Employee Benefits Security Administration</small> | <b>DFE/Participating Plan Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br><b>► File as an attachment to Form 5500.</b> | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection.</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|

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

|                                                                                                |                                                                            |            |
|------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|------------|
| <b>A</b> Name of plan<br><u>SPX US PENSION PLAN</u>                                            | <b>B</b> Three-digit plan number (PN) <span style="float: right;">►</span> | <u>003</u> |
| <b>C</b> Plan or DFE sponsor's name as shown on line 2a of Form 5500<br><u>SPX CORPORATION</u> | <b>D</b> Employer Identification Number (EIN)<br><u>38-1016240</u>         |            |

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

|                                                                                              |                               |                                                                                                                                                        |
|----------------------------------------------------------------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>JPMCB EXTENDED DURATION FUND</u>           |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>JPM CHASE BANK NA</u>                   |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>95-3309269-000</u>                                                        | <b>d</b> Entity code <u>C</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>38224104</u></span> |
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>SYNTHETIC US FIXED RATE 2017 FUND</u>      |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPA</u> |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>20-5690306-001</u>                                                        | <b>d</b> Entity code <u>C</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>8181445</u></span>  |
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>SYNTHETIC US FIXED RATE 2022 FUND</u>      |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPA</u> |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>20-5690387-001</u>                                                        | <b>d</b> Entity code <u>C</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>4612783</u></span>  |
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>SYNTHETIC US FIXED RATE 2027 FUND</u>      |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPA</u> |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>20-5690468-001</u>                                                        | <b>d</b> Entity code <u>C</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>4136549</u></span>  |
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>SYNTHETIC US FIXED RATE 2032 FUND</u>      |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPA</u> |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>20-5690534-001</u>                                                        | <b>d</b> Entity code <u>C</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>2982036</u></span>  |
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>SYNTHETIC US FIXED RATE 2037 FUND</u>      |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPA</u> |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>20-5690591-001</u>                                                        | <b>d</b> Entity code <u>C</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>3744388</u></span>  |
| <b>a</b> Name of MTIA, CCT, PSA, or 103-12 IE: <u>GMO MULTI-STRATEGY FUND (ONSHORE)</u>      |                               |                                                                                                                                                        |
| <b>b</b> Name of sponsor of entity listed in (a): <u>GMO MULTI-STRATEGY FUND (ONSHORE)</u>   |                               |                                                                                                                                                        |
| <b>c</b> EIN-PN <u>01-0745810-001</u>                                                        | <b>d</b> Entity code <u>E</u> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right;"><u>6845277</u></span>  |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: [SPRUCEGROVE US INT'L POOLED FUND](#)

**b** Name of sponsor of entity listed in (a): [SPRUCEGROVE INVESTMENT MANAGEMENT LTD](#)

|                                                |                                        |                                                                                                                              |
|------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <a href="#">98-0399967-001</a> | <b>d</b> Entity code <a href="#">C</a> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <a href="#">16992987</a> |
|------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: [MORGAN STANLEY IM INT'L EQUITY TRUS](#)

**b** Name of sponsor of entity listed in (a): [MORGAN STANLEY INVESTMENT MANAGEMENT](#)

|                                               |                                        |                                                                                                                              |
|-----------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <a href="#">04-322247-001</a> | <b>d</b> Entity code <a href="#">C</a> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <a href="#">56605080</a> |
|-----------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------|

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

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

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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):

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> 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  
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|                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                              |                                                                                                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <b>SCHEDULE H</b><br><b>(Form 5500)</b><br><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><br><small>Department of Labor<br/>Employee Benefits Security Administration</small><br><br><small>Pension Benefit Guaranty Corporation</small> | <b>Financial Information</b><br><br>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).<br><br><b>► File as an attachment to Form 5500.</b> | <small>OMB No. 1210-0110</small><br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|

|                                                                                                          |                                                                        |            |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------|
| For calendar plan year 2013 or fiscal plan year beginning <b>01/01/2013</b> and ending <b>12/31/2013</b> |                                                                        |            |
| <b>A</b> Name of plan<br><b>SPX US PENSION PLAN</b>                                                      | <b>B</b> Three-digit plan number (PN) ►                                | <b>003</b> |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><b>SPX CORPORATION</b>                  | <b>D</b> Employer Identification Number (EIN)<br><br><b>38-1016240</b> |            |

| Part I                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Asset and Liability Statement |                              |                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|------------------------------|------------------------|
| <b>1</b> 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. <b>Round off amounts to the nearest dollar.</b> 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. |                               |                              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>Assets</b>                 | <b>(a) Beginning of Year</b> | <b>(b) End of Year</b> |
| <b>a</b> Total noninterest-bearing cash .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>1a</b>                     |                              |                        |
| <b>b</b> Receivables (less allowance for doubtful accounts):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                               |                              |                        |
| <b>(1)</b> Employer contributions .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>1b(1)</b>                  | 277816204                    |                        |
| <b>(2)</b> Participant contributions .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>1b(2)</b>                  |                              |                        |
| <b>(3)</b> Other .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>1b(3)</b>                  |                              | 92253                  |
| <b>c</b> General investments:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                               |                              |                        |
| <b>(1)</b> Interest-bearing cash (include money market accounts & certificates of deposit) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>1c(1)</b>                  |                              | 156830702              |
| <b>(2)</b> U.S. Government securities .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>1c(2)</b>                  |                              |                        |
| <b>(3)</b> Corporate debt instruments (other than employer securities):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                               |                              |                        |
| <b>(A)</b> Preferred .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>1c(3)(A)</b>               |                              |                        |
| <b>(B)</b> All other .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>1c(3)(B)</b>               |                              |                        |
| <b>(4)</b> Corporate stocks (other than employer securities):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                               |                              |                        |
| <b>(A)</b> Preferred .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>1c(4)(A)</b>               |                              |                        |
| <b>(B)</b> Common .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>1c(4)(B)</b>               |                              | 26448667               |
| <b>(5)</b> Partnership/joint venture interests .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <b>1c(5)</b>                  |                              | 695013                 |
| <b>(6)</b> Real estate (other than employer real property) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>1c(6)</b>                  |                              |                        |
| <b>(7)</b> Loans (other than to participants) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>1c(7)</b>                  |                              |                        |
| <b>(8)</b> Participant loans .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>1c(8)</b>                  |                              |                        |
| <b>(9)</b> Value of interest in common/collective trusts .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>1c(9)</b>                  |                              | 135479372              |
| <b>(10)</b> Value of interest in pooled separate accounts .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>1c(10)</b>                 |                              |                        |
| <b>(11)</b> Value of interest in master trust investment accounts .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>1c(11)</b>                 | 935290896                    |                        |
| <b>(12)</b> Value of interest in 103-12 investment entities .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>1c(12)</b>                 |                              | 6845277                |
| <b>(13)</b> Value of interest in registered investment companies (e.g., mutual funds) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>1c(13)</b>                 |                              | 87101932               |
| <b>(14)</b> Value of funds held in insurance company general account (unallocated contracts) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>1c(14)</b>                 |                              | 1483530                |
| <b>(15)</b> Other .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>1c(15)</b>                 |                              | 64600368               |

**1d** Employer-related investments:

|                                                                      |              | (a) Beginning of Year | (b) End of Year |
|----------------------------------------------------------------------|--------------|-----------------------|-----------------|
| (1) Employer securities .....                                        | <b>1d(1)</b> |                       |                 |
| (2) Employer real property .....                                     | <b>1d(2)</b> |                       |                 |
| <b>e</b> Buildings and other property used in plan operation .....   | <b>1e</b>    |                       |                 |
| <b>f</b> Total assets (add all amounts in lines 1a through 1e) ..... | <b>1f</b>    | 1213107100            | 479577114       |

**Liabilities**

|                                                                           |           |   |          |
|---------------------------------------------------------------------------|-----------|---|----------|
| <b>g</b> Benefit claims payable .....                                     | <b>1g</b> |   |          |
| <b>h</b> Operating payables .....                                         | <b>1h</b> |   |          |
| <b>i</b> Acquisition indebtedness .....                                   | <b>1i</b> |   |          |
| <b>j</b> Other liabilities .....                                          | <b>1j</b> |   | 13696672 |
| <b>k</b> Total liabilities (add all amounts in lines 1g through 1j) ..... | <b>1k</b> | 0 | 13696672 |

**Net Assets**

|                                                           |           |            |           |
|-----------------------------------------------------------|-----------|------------|-----------|
| <b>l</b> Net assets (subtract line 1k from line 1f) ..... | <b>1l</b> | 1213107100 | 465880442 |
|-----------------------------------------------------------|-----------|------------|-----------|

**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 |
|------------------------------------------------------------------------------------------------------------|-----------------|------------|-----------|
| <b>a Contributions:</b>                                                                                    |                 |            |           |
| (1) Received or receivable in cash from: <b>(A)</b> Employers .....                                        | <b>2a(1)(A)</b> |            |           |
| <b>(B)</b> Participants .....                                                                              | <b>2a(1)(B)</b> |            |           |
| <b>(C)</b> Others (including rollovers) .....                                                              | <b>2a(1)(C)</b> |            |           |
| (2) Noncash contributions .....                                                                            | <b>2a(2)</b>    |            |           |
| (3) Total contributions. Add lines <b>2a(1)(A)</b> , <b>(B)</b> , <b>(C)</b> , and line <b>2a(2)</b> ..... | <b>2a(3)</b>    |            | 0         |
| <b>b Earnings on investments:</b>                                                                          |                 |            |           |
| (1) Interest:                                                                                              |                 |            |           |
| <b>(A)</b> Interest-bearing cash (including money market accounts and certificates of deposit) .....       | <b>2b(1)(A)</b> | 76178      |           |
| <b>(B)</b> U.S. Government securities .....                                                                | <b>2b(1)(B)</b> |            |           |
| <b>(C)</b> Corporate debt instruments .....                                                                | <b>2b(1)(C)</b> |            |           |
| <b>(D)</b> Loans (other than to participants) .....                                                        | <b>2b(1)(D)</b> |            |           |
| <b>(E)</b> Participant loans .....                                                                         | <b>2b(1)(E)</b> |            |           |
| <b>(F)</b> Other .....                                                                                     | <b>2b(1)(F)</b> | 56         |           |
| <b>(G)</b> Total interest. Add lines <b>2b(1)(A)</b> through <b>(F)</b> .....                              | <b>2b(1)(G)</b> |            | 76234     |
| (2) Dividends: <b>(A)</b> Preferred stock .....                                                            | <b>2b(2)(A)</b> |            |           |
| <b>(B)</b> Common stock .....                                                                              | <b>2b(2)(B)</b> | 1554515    |           |
| <b>(C)</b> Registered investment company shares (e.g. mutual funds) .....                                  | <b>2b(2)(C)</b> | 8144501    |           |
| <b>(D)</b> Total dividends. Add lines <b>2b(2)(A)</b> , <b>(B)</b> , and <b>(C)</b> .....                  | <b>2b(2)(D)</b> |            | 9699016   |
| (3) Rents .....                                                                                            | <b>2b(3)</b>    |            |           |
| (4) Net gain (loss) on sale of assets: <b>(A)</b> Aggregate proceeds .....                                 | <b>2b(4)(A)</b> | 238182352  |           |
| <b>(B)</b> Aggregate carrying amount (see instructions) .....                                              | <b>2b(4)(B)</b> | 214449497  |           |
| <b>(C)</b> Subtract line <b>2b(4)(B)</b> from line <b>2b(4)(A)</b> and enter result .....                  | <b>2b(4)(C)</b> |            | 23732855  |
| (5) Unrealized appreciation (depreciation) of assets: <b>(A)</b> Real estate .....                         | <b>2b(5)(A)</b> |            |           |
| <b>(B)</b> Other .....                                                                                     | <b>2b(5)(B)</b> |            |           |
| <b>(C)</b> Total unrealized appreciation of assets. Add lines <b>2b(5)(A)</b> and <b>(B)</b> .....         | <b>2b(5)(C)</b> |            | 0         |

|                                                                                                |        | (a) Amount | (b) Total |
|------------------------------------------------------------------------------------------------|--------|------------|-----------|
| (6) Net investment gain (loss) from common/collective trusts.....                              | 2b(6)  |            | 4639608   |
| (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) |            | 1952284   |
| c Other income.....                                                                            | 2c     |            | -3566648  |
| d Total income. Add all <b>income</b> amounts in column (b) and enter total.....               | 2d     |            | 36533349  |

**Expenses**

|                                                                                     |       |           |           |
|-------------------------------------------------------------------------------------|-------|-----------|-----------|
| e Benefit payment and payments to provide benefits:                                 |       |           |           |
| (1) Directly to participants or beneficiaries, including direct rollovers.....      | 2e(1) | 110371752 |           |
| (2) To insurance carriers for the provision of benefits.....                        | 2e(2) | 663748355 |           |
| (3) Other.....                                                                      | 2e(3) |           |           |
| (4) Total benefit payments. Add lines 2e(1) through (3).....                        | 2e(4) |           | 774120107 |
| 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) | 5213321   |           |
| (2) Contract administrator fees.....                                                | 2i(2) |           |           |
| (3) Investment advisory and management fees.....                                    | 2i(3) | 3203245   |           |
| (4) Other.....                                                                      | 2i(4) | 1223334   |           |
| (5) Total administrative expenses. Add lines 2i(1) through (4).....                 | 2i(5) |           | 9639900   |
| j Total expenses. Add all <b>expense</b> amounts in column (b) and enter total..... | 2j    |           | 783760007 |

**Net Income and Reconciliation**

|                                                         |       |  |            |
|---------------------------------------------------------|-------|--|------------|
| k Net income (loss). Subtract line 2j from line 2d..... | 2k    |  | -747226658 |
| l Transfers of assets:                                  |       |  |            |
| (1) To this plan.....                                   | 2l(1) |  |            |
| (2) From this plan.....                                 | 2l(2) |  |            |

**Part III Accountant's Opinion**

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

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

(1) ☐ Unqualified (2) ☐ Qualified (3) ☒ 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 ☐ No

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

(1) Name: PLANTE & MORAN PLLC

(2) EIN: 38-1357951

**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:

**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.).....

**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.).....

|    | Yes | No | Amount |
|----|-----|----|--------|
| 4a |     | X  |        |
| 4b |     | X  |        |

|                                                                                                                                                                                                                               | Yes | No | Amount   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|----------|
| <b>c</b> 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.) .....                                          |     | X  |          |
| <b>4c</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>d</b> 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.) .....                               |     | X  |          |
| <b>4d</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>e</b> Was this plan covered by a fidelity bond? .....                                                                                                                                                                      | X   |    | 25000000 |
| <b>4e</b>                                                                                                                                                                                                                     | X   |    | 25000000 |
| <b>f</b> Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? .....                                                                                       |     | X  |          |
| <b>4f</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>g</b> 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? .....                                                    |     | X  |          |
| <b>4g</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>h</b> 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? .....                                          |     | X  |          |
| <b>4h</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>i</b> Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) .....                                                                | X   |    |          |
| <b>4i</b>                                                                                                                                                                                                                     | X   |    |          |
| <b>j</b> 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.) ..... | X   |    |          |
| <b>4j</b>                                                                                                                                                                                                                     | X   |    |          |
| <b>k</b> Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? .....                                                           |     | X  |          |
| <b>4k</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>l</b> Has the plan failed to provide any benefit when due under the plan? .....                                                                                                                                            |     | X  |          |
| <b>4l</b>                                                                                                                                                                                                                     |     | X  |          |
| <b>m</b> If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) .....                                                                                                  |     |    |          |
| <b>4m</b>                                                                                                                                                                                                                     |     |    |          |
| <b>n</b> 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. ....                                      |     |    |          |
| <b>4n</b>                                                                                                                                                                                                                     |     |    |          |

**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)

|                         |                       |
|-------------------------|-----------------------|
| <b>6a</b> Name of trust | <b>6b</b> Trust's EIN |
|                         |                       |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                            |                                                                                            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <b>SCHEDULE R</b><br><b>(Form 5500)</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security Administration<br><br>Pension Benefit Guaranty Corporation | <b>Retirement Plan Information</b><br><br>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).<br><br>▶ <b>File as an attachment to Form 5500.</b> | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection.</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|

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

|                                                                                         |                                                                    |
|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>A</b> Name of plan<br><u>SPX US PENSION PLAN</u>                                     | <b>B</b> Three-digit plan number (PN) ▶<br><u>003</u>              |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><u>SPX CORPORATION</u> | <b>D</b> Employer Identification Number (EIN)<br><u>38-1016240</u> |

|               |                      |
|---------------|----------------------|
| <b>Part I</b> | <b>Distributions</b> |
|---------------|----------------------|

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

|                                                                                                                                                                                                                                                                    |          |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|------------|
| <b>1</b> Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....                                                                                                                              | <b>1</b> | <u>0</u>   |
| <b>2</b> 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):<br><br>EIN(s): <u>13-2633612</u> |          |            |
| <b>Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.</b>                                                                                                                                                                                            |          |            |
| <b>3</b> Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year.....                                                                                                                                    | <b>3</b> | <u>591</u> |

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

|                                                                                                                                                                                                                                                                                                                                                                           |                              |                             |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|-----------------------------------------|
| <b>4</b> Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?.....                                                                                                                                                                                                                                                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A |
| <b>If the plan is a defined benefit plan, go to line 8.</b>                                                                                                                                                                                                                                                                                                               |                              |                             |                                         |
| <b>5</b> 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. <b>Date:</b> Month _____ Day _____ Year _____<br><b>If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.</b> |                              |                             |                                         |
| <b>6 a</b> Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived).....                                                                                                                                                                                                                             | <b>6a</b>                    |                             |                                         |
| <b>b</b> Enter the amount contributed by the employer to the plan for this plan year.....                                                                                                                                                                                                                                                                                 | <b>6b</b>                    |                             |                                         |
| <b>c</b> 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) .....                                                                                                                                                                                                                          | <b>6c</b>                    |                             |                                         |
| <b>If you completed line 6c, skip lines 8 and 9.</b>                                                                                                                                                                                                                                                                                                                      |                              |                             |                                         |
| <b>7</b> Will the minimum funding amount reported on line 6c be met by the funding deadline?.....                                                                                                                                                                                                                                                                         | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A            |
| <b>8</b> 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?.....                                                                                                | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A |

|                 |                   |
|-----------------|-------------------|
| <b>Part III</b> | <b>Amendments</b> |
|-----------------|-------------------|

|                                                                                                                                                                                                                            |                                   |                                   |                               |                                        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------------------|-------------------------------|----------------------------------------|
| <b>9</b> 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..... | <input type="checkbox"/> Increase | <input type="checkbox"/> Decrease | <input type="checkbox"/> Both | <input checked="" type="checkbox"/> No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------------------|-------------------------------|----------------------------------------|

|                |                                                                                                                                                   |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part IV</b> | <b>ESOPs</b> (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. |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                                                                                                                                                             |                              |                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| <b>10</b> Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? .....                                                     | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <b>11 a</b> Does the ESOP hold any preferred stock? .....                                                                                                                                   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <b>b</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.)..... | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <b>12</b> Does the ESOP hold any stock that is not readily tradable on an established securities market? .....                                                                              | <input type="checkbox"/> Yes | <input type="checkbox"/> 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:

|                                                                          |            |  |
|--------------------------------------------------------------------------|------------|--|
| <b>a</b> The current year .....                                          | <b>14a</b> |  |
| <b>b</b> The plan year immediately preceding the current plan year ..... | <b>14b</b> |  |
| <b>c</b> The second preceding plan year .....                            | <b>14c</b> |  |

- 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:

|                                                                                                       |            |  |
|-------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> The corresponding number for the plan year immediately preceding the current plan year ..... | <b>15a</b> |  |
| <b>b</b> The corresponding number for the second preceding plan year .....                            | <b>15b</b> |  |

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

|                                                                                                                                                                        |            |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Enter the number of employers who withdrew during the preceding plan year .....                                                                               | <b>16a</b> |  |
| <b>b</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 ..... | <b>16b</b> |  |

- 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: 48% Investment-Grade Debt: 38% High-Yield Debt: 5% Real Estate: 0% Other: 9%

- 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):

## Independent Auditor's Report

To the SPX Corporation Retirement and  
Welfare Plan Administrative Committee  
SPX US Pension Plan

### **Report on the Financial Statements**

We were engaged to audit the accompanying financial statements of SPX US Pension Plan (formerly known as SPX Corporation Individual Account Retirement Plan) (the "Plan"), which comprise the statement 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 years then ended, and the related notes to the financial statements.

### ***Management's Responsibility for the Financial Statements***

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; 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.

### ***Auditor's Responsibility***

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the *Basis for Disclaimer of Opinion* paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

### ***Basis for Disclaimer of Opinion***

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 (ERISA), the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by JPMorgan Chase Bank, N.A. (the "Trustee"), except for comparing such information with the related information included in the financial statements. We have been informed by the plan administrator that the Trustee holds the Plan's investment assets and executes related transactions. The plan administrator has obtained certifications from the Trustee as of and for the years ended December 31, 2013 and 2012 that the information provided to the plan administrator by the Trustee is complete and accurate.

To the SPX Corporation Retirement and  
Welfare Plan Administrative Committee  
SPX US Pension Plan

***Disclaimer of Opinion***

Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

***Other Matter***

The supplemental schedules of assets held at end of year as of December 31, 2013 and reportable transactions for the year ended December 31, 2013 are required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA and are presented for the purpose of additional analysis and are not a required part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on these supplemental schedules.

**Report on Form and Content in Compliance with DOL Rules and Regulations**

The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the Trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

*Plante & Moran, PLLC*

Southfield, Michigan  
October 9, 2014

# SCHEDULE SB ATTACHMENTS

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## Schedule SB – Statement by Enrolled Actuary

|                          |                     |
|--------------------------|---------------------|
| <b>Plan Sponsor</b>      | SPX Corporation     |
| <b>EIN/PN</b>            | 38-1016240 / 003    |
| <b>Plan Name</b>         | SPX US Pension Plan |
| <b>Valuation Date</b>    | January 1, 2013     |
| <b>Enrolled Actuary</b>  | Megan Foster        |
| <b>Enrollment Number</b> | 14-7582             |

The actuarial assumptions that are not mandated by IRC § 430 and regulations, represent the enrolled actuary's best estimate of anticipated experience under the plan, subject to the following conditions: The plan sponsor has elected to not apply the corridors under the Highway and Transportation Funding Act of 2014 (HATFA) for funding purposes under IRC §430 or benefit restriction purposes under IRC §436 for the 2013 plan year.

The actuarial valuation, on which the information in this Schedule SB is based, has been prepared in reliance upon the employee and financial data furnished by the plan administrator and the trustee. The enrolled actuary has not made a rigorous check of the accuracy of this information but has accepted it after reviewing it and concluding it is reasonable in relation to similar information furnished in previous years. The amounts of contributions and dates paid shown in Item 18 of Schedule SB were listed in reliance on information provided by the plan administrator and/or trustee.

|                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                    |                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>SCHEDULE SB</b><br><b>(Form 5500)</b><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><small>Department of Labor<br/>Employee Benefits Security Administration</small><br><small>Pension Benefit Guaranty Corporation</small> | <b>Single-Employer Defined Benefit Plan</b><br><b>Actuarial Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).<br><br><b>► File as an attachment to Form 5500 or 5500-SF.</b> | OMB No. 1510-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|

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

► **Round off amounts to nearest dollar.**  
 ► **Caution:** A penalty of \$1,000 will be assessed for late filing of this report unless reasonable cause is established.

|                                                                                                 |                                                                 |
|-------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
| <b>A</b> Name of plan<br><br>SPX US Pension Plan                                                | <b>B</b> Three-digit plan number (PN) ► <u>003</u>              |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF<br><br>SPX Corporation | <b>D</b> Employer Identification Number (EIN)<br><br>38-1016240 |

**E** Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B ☐ Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500

**Part I Basic Information**

|                                                                                                                                                                                                          |              |                            |                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|----------------------------|--------------------|
| <b>1</b> Enter the valuation date: Month <u>1</u> Day <u>1</u> Year <u>2013</u>                                                                                                                          |              |                            |                    |
| <b>2</b> Assets:                                                                                                                                                                                         |              |                            |                    |
| a Market value .....                                                                                                                                                                                     | <b>2a</b>    | 1,209,312,920              |                    |
| b Actuarial value .....                                                                                                                                                                                  | <b>2b</b>    | 1,171,179,130              |                    |
| <b>3</b> Funding target/participant count breakdown:                                                                                                                                                     |              |                            |                    |
|                                                                                                                                                                                                          |              | (1) Number of participants | (2) Funding Target |
| a For retired participants and beneficiaries receiving payment .....                                                                                                                                     | <b>3a</b>    | 15,729                     | 577,973,568        |
| b For terminated vested participants .....                                                                                                                                                               | <b>3b</b>    | 10,982                     | 294,721,082        |
| c For active participants:                                                                                                                                                                               |              |                            |                    |
| (1) Non-vested benefits .....                                                                                                                                                                            | <b>3c(1)</b> |                            | 1,271,702          |
| (2) Vested benefits .....                                                                                                                                                                                | <b>3c(2)</b> |                            | 87,124,684         |
| (3) Total active .....                                                                                                                                                                                   | <b>3c(3)</b> | 1,740                      | 88,396,386         |
| d Total .....                                                                                                                                                                                            | <b>3d</b>    | 28,451                     | 961,091,036        |
| <b>4</b> If the plan is in at-risk status, check the box and complete lines (a) and (b) <input type="checkbox"/>                                                                                         |              |                            |                    |
| a Funding target disregarding prescribed at-risk assumptions .....                                                                                                                                       | <b>4a</b>    |                            |                    |
| b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor ..... | <b>4b</b>    |                            |                    |
| <b>5</b> Effective interest rate .....                                                                                                                                                                   | <b>5</b>     | 6.22 %                     |                    |
| <b>6</b> Target normal cost .....                                                                                                                                                                        | <b>6</b>     | 9,842,136                  |                    |

**Statement by Enrolled Actuary**  
 To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

|                  |                                                                                                                                                                                                   |                                                                                                                                  |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| <b>SIGN HERE</b> | <br>Signature of actuary<br>Megan Foster<br>Type or print name of actuary<br>Towers Watson Delaware Inc.<br>Firm name<br>28411 Northwestern Highway<br>Southfield MI 48034<br>Address of the firm | <u>10/07/14</u><br>Date<br>14-07582<br>Most recent enrollment number<br>(248) 936-7700<br>Telephone number (including area code) |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions ☐

**Part II Beginning of Year Carryover and Prefunding Balances**

|                                                                                                                                            | (a) Carryover balance | (b) Prefunding balance |
|--------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|------------------------|
| <b>7</b> Balance at beginning of prior year after applicable adjustments (line 13 from prior year) .....                                   | 0                     | 0                      |
| <b>8</b> Portion elected for use to offset prior year's funding requirement (line 35 from prior year) .....                                | 0                     | 0                      |
| <b>9</b> Amount remaining (line 7 minus line 8) .....                                                                                      | 0                     | 0                      |
| <b>10</b> Interest on line 9 using prior year's actual return of <u>13.15</u> % .....                                                      |                       |                        |
| <b>11</b> Prior year's excess contributions to be added to prefunding balance:                                                             |                       |                        |
| <b>a</b> Present value of excess contributions (line 38a from prior year) .....                                                            |                       | 249,590,467            |
| <b>b</b> Interest on (a) using prior year's effective interest rate of <u>6.90</u> % except as otherwise provided (see instructions) ..... |                       | 17,221,742             |
| <b>c</b> Total available at beginning of current plan year to add to prefunding balance .....                                              |                       | 266,812,209            |
| <b>d</b> Portion of (c) to be added to prefunding balance .....                                                                            |                       | 266,800,000            |
| <b>12</b> Other reductions in balances due to elections or deemed elections .....                                                          | 0                     | 66,600,000             |
| <b>13</b> Balance at beginning of current year (line 9 + line 10 + line 11d - line 12) .....                                               | 0                     | 200,200,000            |

**Part III Funding Percentages**

|                                                                                                                                                                            |           |          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|
| <b>14</b> Funding target attainment percentage .....                                                                                                                       | <b>14</b> | 101.02 % |
| <b>15</b> Adjusted funding target attainment percentage .....                                                                                                              | <b>15</b> | 121.85 % |
| <b>16</b> Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement ..... | <b>16</b> | 93.69 %  |
| <b>17</b> If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage .....                                        | <b>17</b> | %        |

**Part IV Contributions and Liquidity Shortfalls**

| <b>18</b> Contributions made to the plan for the plan year by employer(s) and employees: |                                   |                                 |                          |                                   |                                 |
|------------------------------------------------------------------------------------------|-----------------------------------|---------------------------------|--------------------------|-----------------------------------|---------------------------------|
| (a) Date<br>(MM-DD-YYYY)                                                                 | (b) Amount paid by<br>employer(s) | (c) Amount paid by<br>employees | (a) Date<br>(MM-DD-YYYY) | (b) Amount paid by<br>employer(s) | (c) Amount paid by<br>employees |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
|                                                                                          |                                   |                                 |                          |                                   |                                 |
| <b>Totals ▶</b>                                                                          |                                   |                                 | <b>18(b)</b>             | 0                                 | <b>18(c)</b> 0                  |

|                                                                                                                                      |                                                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| <b>19</b> Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year: |                                                                     |
| <b>a</b> Contributions allocated toward unpaid minimum required contributions from prior years .....                                 | <b>19a</b>                                                          |
| <b>b</b> Contributions made to avoid restrictions adjusted to valuation date .....                                                   | <b>19b</b>                                                          |
| <b>c</b> Contributions allocated toward minimum required contribution for current year adjusted to valuation date .....              | <b>19c</b> 0                                                        |
| <b>20</b> Quarterly contributions and liquidity shortfalls:                                                                          |                                                                     |
| <b>a</b> Did the plan have a "funding shortfall" for the prior year? .....                                                           | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>b</b> If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? .....              | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>c</b> If line 20a is "Yes," see instructions and complete the following table as applicable:                                      |                                                                     |

Liquidity shortfall as of end of quarter of this plan year

| (1) 1st | (2) 2nd | (3) 3rd | (4) 4th |
|---------|---------|---------|---------|
| 0       | 0       | 0       | 0       |

**Part V Assumptions Used to Determine Funding Target and Target Normal Cost**

|                                                                                                                                                                                              |                        |                        |                        |                                                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------|------------------------|-----------------------------------------------------|
| <b>21</b> Discount rate:                                                                                                                                                                     |                        |                        |                        |                                                     |
| <b>a</b> Segment rates:                                                                                                                                                                      | 1st segment:<br>4.94 % | 2nd segment:<br>6.15 % | 3rd segment:<br>6.76 % | <input type="checkbox"/> N/A, full yield curve used |
| <b>b</b> Applicable month (enter code).....                                                                                                                                                  |                        |                        |                        | <b>21b</b> 4                                        |
| <b>22</b> Weighted average retirement age .....                                                                                                                                              |                        |                        |                        | <b>22</b> 64                                        |
| <b>23</b> Mortality table(s) (see instructions) <input type="checkbox"/> Prescribed - combined <input checked="" type="checkbox"/> Prescribed - separate <input type="checkbox"/> Substitute |                        |                        |                        |                                                     |

**Part VI Miscellaneous Items**

|                                                                                                                                                                       |  |                                                                     |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------|
| <b>24</b> Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment..... |  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>25</b> Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment.....                                      |  | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| <b>26</b> Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment.....                            |  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>27</b> If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment.....                                   |  | <b>27</b>                                                           |

**Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years**

|                                                                                                                                     |           |   |
|-------------------------------------------------------------------------------------------------------------------------------------|-----------|---|
| <b>28</b> Unpaid minimum required contributions for all prior years .....                                                           | <b>28</b> | 0 |
| <b>29</b> Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a)..... | <b>29</b> |   |
| <b>30</b> Remaining amount of unpaid minimum required contributions (line 28 minus line 29) .....                                   | <b>30</b> | 0 |

**Part VIII Minimum Required Contribution For Current Year**

|                                                                                                                                                                                      |   |                     |                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------------|--------------------|
| <b>31</b> Target normal cost and excess assets (see instructions):                                                                                                                   |   |                     |                    |
| <b>a</b> Target normal cost (line 6) .....                                                                                                                                           |   | <b>31a</b>          | 9,842,136          |
| <b>b</b> Excess assets, if applicable, but not greater than line 31a .....                                                                                                           |   | <b>31b</b>          | 9,842,136          |
| <b>32</b> Amortization installments:                                                                                                                                                 |   | Outstanding Balance |                    |
| <b>a</b> Net shortfall amortization installment.....                                                                                                                                 |   | 0                   | 0                  |
| <b>b</b> Waiver amortization installment.....                                                                                                                                        |   | 0                   | 0                  |
| <b>33</b> If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount ..... |   | <b>33</b>           | 0                  |
| <b>34</b> Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33) ..                                                            |   | <b>34</b>           | 0                  |
|                                                                                                                                                                                      |   | Carryover balance   | Prefunding balance |
| <b>35</b> Balances elected for use to offset funding requirement.....                                                                                                                | 0 | 0                   | 0                  |
| <b>36</b> Additional cash requirement (line 34 minus line 35).....                                                                                                                   |   | <b>36</b>           | 0                  |
| <b>37</b> Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c).....                                                   |   | <b>37</b>           | 0                  |
| <b>38</b> Present value of excess contributions for current year (see instructions)                                                                                                  |   |                     |                    |
| <b>a</b> Total (excess, if any, of line 37 over line 36) .....                                                                                                                       |   | <b>38a</b>          | 0                  |
| <b>b</b> Portion included in line 38a attributable to use of prefunding and funding standard carryover balances .....                                                                |   | <b>38b</b>          | 0                  |
| <b>39</b> Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37) .....                                                                      |   | <b>39</b>           | 0                  |
| <b>40</b> Unpaid minimum required contributions for all years .....                                                                                                                  |   | <b>40</b>           | 0                  |

**Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)**

|                                                                                                |  |                                                                                                                         |  |
|------------------------------------------------------------------------------------------------|--|-------------------------------------------------------------------------------------------------------------------------|--|
| <b>41</b> If an election was made to use PRA 2010 funding relief for this plan:                |  |                                                                                                                         |  |
| <b>a</b> Schedule elected .....                                                                |  | <input type="checkbox"/> 2 plus 7 years <input type="checkbox"/> 15 years                                               |  |
| <b>b</b> Eligible plan year(s) for which the election in line 41a was made .....               |  | <input type="checkbox"/> 2008 <input type="checkbox"/> 2009 <input type="checkbox"/> 2010 <input type="checkbox"/> 2011 |  |
| <b>42</b> Amount of acceleration adjustment .....                                              |  | <b>42</b>                                                                                                               |  |
| <b>43</b> Excess installment acceleration amount to be carried over to future plan years ..... |  | <b>43</b>                                                                                                               |  |

## **SCHEDULE SB ATTACHMENTS**

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**Schedule SB, Line 22**  
**Description of Weighted Average Retirement Age**  
**as of January 1, 2013**

See Part V Statement of Actuarial Assumptions/Methods for retirement rates. The average retirement age for Line 22 was calculated by determining the average age at retirement for those current active participants expected to reach retirement, based on all current decrements assumed.

Plan Name: SPX US Pension Plan  
EIN / PN: 38-1016240 / 003  
Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

## SCHEDULE SB ATTACHMENTS

**Schedule SB, Line 26**

### Schedule of Active Participant Data as of January 1, 2013

| Years of Credited Service |         |            |        |            |        |            |          |            |          |            |          |            |          |            |          |            |          |            |           |            |
|---------------------------|---------|------------|--------|------------|--------|------------|----------|------------|----------|------------|----------|------------|----------|------------|----------|------------|----------|------------|-----------|------------|
| Attained Age              | Under 1 |            | 1 to 4 |            | 5 to 9 |            | 10 to 14 |            | 15 to 19 |            | 20 to 24 |            | 25 to 29 |            | 30 to 34 |            | 35 to 39 |            | 40 & Over |            |
|                           | No.     | Avg. Comp. | No.    | Avg. Comp. | No.    | Avg. Comp. | No.      | Avg. Comp. | No.      | Avg. Comp. | No.      | Avg. Comp. | No.      | Avg. Comp. | No.      | Avg. Comp. | No.      | Avg. Comp. | No.       | Avg. Comp. |
| Under 25                  | 0       |            | 0      |            | 0      |            | 0        |            | 0        |            | 0        |            | 0        |            | 0        |            | 0        |            | 0         |            |
| 25 - 29                   | 0       |            | 1      |            | 1      |            | 0        |            | 0        |            | 0        |            | 0        |            | 0        |            | 0        |            | 0         |            |
| 30 - 34                   | 0       |            | 6      |            | 1      |            | 16       |            | 1        |            | 0        |            | 0        |            | 0        |            | 0        |            | 0         |            |
| 35 - 39                   | 2       |            | 20     | 81,570     | 12     |            | 22       | 52,129     | 21       | 58,168     | 0        |            | 0        |            | 0        |            | 0        |            | 0         |            |
| 40 - 44                   | 2       |            | 23     | 59,531     | 30     | 80,999     | 60       | 78,040     | 15       |            | 7        |            | 4        |            | 0        |            | 0        |            | 0         |            |
| 45 - 49                   | 1       |            | 13     |            | 33     | 72,662     | 99       | 69,231     | 42       | 66,395     | 29       | 90,440     | 26       | 67,802     | 2        |            | 0        |            | 0         |            |
| 50 - 54                   | 1       |            | 25     | 68,520     | 36     | 87,735     | 87       | 77,861     | 45       | 78,800     | 62       | 80,787     | 50       | 72,655     | 43       | 71,943     | 8        |            | 0         |            |
| 55 - 59                   | 1       |            | 13     |            | 29     | 71,536     | 108      | 71,228     | 42       | 91,532     | 45       | 92,913     | 54       | 70,662     | 69       | 75,307     | 65       | 70,795     | 11        |            |
| 60 - 64                   | 1       |            | 18     |            | 16     |            | 64       | 69,658     | 28       | 74,626     | 23       | 79,114     | 53       | 69,881     | 44       | 79,802     | 56       | 69,811     | 42        | 69,649     |
| 65 - 69                   | 0       |            | 4      |            | 4      |            | 13       |            | 12       |            | 7        |            | 23       | 68,280     | 13       |            | 6        |            | 19        |            |
| 70 & Over                 | 0       |            | 1      |            | 2      |            | 0        |            | 1        |            | 2        |            | 1        |            | 1        |            | 1        |            | 2         |            |

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SPX Corporation  
January 1, 2013

## SCHEDULE SB ATTACHMENTS

**Schedule SB, Line 26**

**Schedule of Active Participant Data for Cash Balance Plans as of January 1, 2013**

|              | Years of Credited Service |           |        |           |        |           |          |           |          |           |          |           |          |           |          |           |          |           |           |           |
|--------------|---------------------------|-----------|--------|-----------|--------|-----------|----------|-----------|----------|-----------|----------|-----------|----------|-----------|----------|-----------|----------|-----------|-----------|-----------|
|              | Under 1                   |           | 1 to 4 |           | 5 to 9 |           | 10 to 14 |           | 15 to 19 |           | 20 to 24 |           | 25 to 29 |           | 30 to 34 |           | 35 to 39 |           | 40 & Over |           |
|              | No.                       | Avg. Bal. | No.    | Avg. Bal. | No.    | Avg. Bal. | No.      | Avg. Bal. | No.      | Avg. Bal. | No.      | Avg. Bal. | No.      | Avg. Bal. | No.      | Avg. Bal. | No.      | Avg. Bal. | No.       | Avg. Bal. |
| Attained Age |                           |           |        |           |        |           |          |           |          |           |          |           |          |           |          |           |          |           |           |           |
| Under 25     | 0                         |           | 0      |           | 0      |           | 0        |           | 0        |           | 0        |           | 0        |           | 0        |           | 0        |           | 0         |           |
| 25 – 29      | 0                         |           | 0      |           | 0      |           | 0        |           | 0        |           | 0        |           | 0        |           | 0        |           | 0        |           | 0         |           |
| 30 – 34      | 0                         |           | 0      |           | 0      |           | 7        |           | 1        |           | 0        |           | 0        |           | 0        |           | 0        |           | 0         |           |
| 35 - 39      | 0                         |           | 0      |           | 0      |           | 9        |           | 13       |           | 0        |           | 0        |           | 0        |           | 0        |           | 0         |           |
| 40 - 44      | 0                         |           | 0      |           | 1      |           | 26       | 47,354    | 8        |           | 4        |           | 0        |           | 0        |           | 0        |           | 0         |           |
| 45 - 49      | 0                         |           | 0      |           | 1      |           | 34       | 39,817    | 18       |           | 22       | 60,667    | 17       |           | 2        |           | 0        |           | 0         |           |
| 50 - 54      | 0                         |           | 0      |           | 1      |           | 41       | 50,710    | 23       | 53,810    | 33       | 55,019    | 33       | 61,051    | 21       | 71,496    | 6        |           | 0         |           |
| 55 - 59      | 0                         |           | 0      |           | 5      |           | 56       | 45,112    | 21       | 104,454   | 16       |           | 25       | 79,018    | 42       | 81,622    | 52       | 84,341    | 10        |           |
| 60 - 64      | 0                         |           | 0      |           | 3      |           | 29       | 42,194    | 10       |           | 7        |           | 25       | 74,257    | 27       | 82,711    | 40       | 93,757    | 19        |           |
| 65 - 69      | 0                         |           | 0      |           | 0      |           | 6        |           | 4        |           | 4        |           | 10       |           | 7        |           | 4        |           | 12        |           |
| 70 & Over    | 0                         |           | 0      |           | 0      |           | 0        |           | 0        |           | 1        |           | 0        |           | 1        |           | 0        |           | 1         |           |

Plan Name: SPX US Pension Plan  
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 Plan Sponsor: SPX Corporation  
 Valuation Date: January 1, 2013

## **SCHEDULE SB ATTACHMENTS**

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**Schedule SB, Line 24**  
**Changes in Assumptions Since Last Actuarial Valuation**  
**as of January 1, 2013**

In addition to the required updates to the interest rates and mortality tables, the following changes to assumptions were made:

- Expected administrative expenses of \$7,100,000 for 2013 were included as a component of the Target Normal Cost.

Plan Name: SPX US Pension Plan  
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Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2012

# SCHEDULE SB ATTACHMENTS

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## Schedule SB, Part V Statement of Actuarial Assumptions/Methods as of January 1, 2013

### Plan Sponsor

SPX Corporation

### Plan

SPX US Pension Plan

### EIN/PN

38-1016240/003

### Interest rate basis:

|                                           |                 |
|-------------------------------------------|-----------------|
| ● Applicable month                        | September       |
| ● Yield curve basis                       | 3-Segment Rates |
| ● MAP-21 applied for funding              | Yes             |
| ● MAP-21 applied for benefit restrictions | Yes             |

### Interest rates:

|                         | Reflecting<br>Corridors | Not Reflecting<br>Corridors |
|-------------------------|-------------------------|-----------------------------|
| First segment rate      | 4.94%                   | 1.75%                       |
| Second segment rate     | 6.15%                   | 4.62%                       |
| Third segment rate      | 6.76%                   | 5.72%                       |
| Effective interest rate | 6.22%                   | 4.74%                       |

### Compensation Increase Rate

3.75%

|                 |                     |
|-----------------|---------------------|
| Plan Name:      | SPX US Pension Plan |
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| Plan Sponsor:   | SPX Corporation     |
| Valuation Date: | January 1, 2013     |

# SCHEDULE SB ATTACHMENTS

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## Assumed Cost of Living Adjustments

None

## Inclusion Date

The valuation date coincident with or next following the date on which the employee becomes a participant.

## Plan-related Expenses

The amount included for this year for plan-related expenses is \$7,100,000.

## Mortality

For all participants: The prescribed mortality assumption under Section 430(h)(3)(A) of the Internal Revenue Code using static tables with separate mortality rates for annuitants and non-annuitants.

## Retirement

For purposes of determining the Funding Target and Target Normal Cost (both disregarding at-risk assumptions), the rates (per 100 employees) at which participants retire by age and gender are shown below.

| Attained Age | Unisex Rates | Attained Age | Unisex Rates |
|--------------|--------------|--------------|--------------|
| 55           | 2.50         | 62           | 20.00        |
| 56           | 2.50         | 63           | 15.00        |
| 57           | 2.50         | 64           | 15.00        |
| 58           | 2.50         | 65           | 70.00        |
| 59           | 2.50         | 66           | 50.00        |
| 60           | 5.00         | 67           | 100.00       |
| 61           | 5.00         |              |              |

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## SCHEDULE SB ATTACHMENTS

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### Disability Rates

The rates (per 1000 employees) at which participants become disabled by age and gender are shown below:

| Age | Males | Females |
|-----|-------|---------|
| 20  | .30   | .30     |
| 25  | .30   | .30     |
| 30  | .30   | .40     |
| 35  | .40   | .70     |
| 40  | .80   | 1.30    |
| 45  | 1.60  | 2.40    |
| 50  | 3.30  | 4.00    |
| 55  | 6.90  | 6.40    |
| 60  | 11.50 | 9.00    |

### Future Increases in Social Security

For purposes of determining the target normal cost and the additional funding target for maximum deductible contribution purposes, Social Security benefits are assumed to increase in the future due to increases in the national average wage index of 3.00% per year and due to increases in the cost of living of 2.50% per year compounded annually.

### Cash Balance Interest Crediting Rate

The interest credit rate is assumed to be a 5-year average of the actual plan rates. This year that rate is 1.40%.

### Future Increases in Maximum Benefits and Plan Compensation Limitations

Accrued benefits projected to be paid in future years are limited to the maximum presently allowed under IRC Section 415. Plan compensation is limited to the maximum presently allowed under IRC Section 401(a)(17). No provision is made for future increase in the maximum annual benefit or compensation limit.

### Calculation of Lump Sum

100% of participants in the main IARP (cash balance plan with grandfathered benefits) are assumed to elect a lump sum when eligible. Lump sums were valued using the PPA valuation interest rates and mortality tables.

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## SCHEDULE SB ATTACHMENTS

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### Representative Termination Rates (per 100 employees) not Due to Disability, Retirement or Mortality

| Attained Age | Males | Females |
|--------------|-------|---------|
| 20           | 18.00 | 18.00   |
| 25           | 17.39 | 17.39   |
| 30           | 16.27 | 16.27   |
| 35           | 14.14 | 14.14   |
| 40           | 11.61 | 11.61   |
| 45           | 8.98  | 8.98    |
| 50           | 5.87  | 5.87    |
| 55 and over  | 0.00  | 0.00    |

### Form of Payment

For participants in the former Bargaining Plan, participants are assumed to elect the normal form.

In the main IARP (cash balance plan with grandfathered formulas) participants are assumed to elect a lump sum. For the other benefit structures participants are generally assumed to elect the normal form.

### Marriage

90% of all active participants are assumed to be married at retirement or death before retirement. The male spouse is assumed to be three years older than the female spouse.

### Employees

It was assumed that there will be no new or rehired employees.

### Funding Target

Present value of accrued benefits as of the valuation date.

### Target Normal Cost

Present value of benefits expected to accrue during the year plus plan-related expenses expected to be paid from plan assets during the year.

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# SCHEDULE SB ATTACHMENTS

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## Asset Method

Under this method, the valuation assets are equal to the average of four values, the result increased by the discounted present value of contributions expected to be made after the valuation date based on the prior plan year PPA effective interest rate. This amount is then subject to a 10% corridor around the market value of assets (including the discounted present value of receivable contributions) as of the valuation date. The four values used to develop the average value are: the market value of assets as of the current valuation date, the adjusted market value of assets as of 8 months prior to the valuation date, the adjusted market value of assets as of 16 months prior to the valuation date, and the adjusted market value of assets as of 24 months prior to the valuation date. The adjusted market value as of a relevant determination date is equal to the market value of assets as of that date increased by actual plan contributions and assumed return on plan assets and decreased by actual plan disbursements after that date until the current valuation date.

The assumed rate of return on plan assets for the prior plan year (pursuant to IRS Notice 2009-22) was 7.25%, which is the lesser of the anticipated rate of return on assets for the plan year, equal to 7.25%, and the applicable limitation for the plan year, equal to 7.52%. The assumed rate of return on plan assets for the second prior plan year (pursuant to IRS Notice 2009-22) was 6.57%, which is the lesser of the anticipated rate of return on assets for the plan year, equal to 7.25%, and the applicable limitation for the plan year, equal to 6.57%. For periods that span two plan years, the assumed rate of return on assets is the lower of the assumed rates of return for each year (pursuant to IRS Notice 2009-22). Because expected investment returns under this method are limited under WRERA, over time it is more likely to produce an actuarial value that is expected to be less than the market value of assets.

## Participant Data

Employee data was supplied electronically as of the valuation date.

## Benefits not Included in Valuation

None for this plan year.

## Changes in Assumptions and Methods Since Last Actuarial Valuation

In addition to the required updates to the interest rates and mortality tables, the following changes in assumptions and methods were made:

- Expected administrative expenses of \$7,100,000 for 2013 were included as a component of the Target Normal Cost.

|                 |                     |
|-----------------|---------------------|
| Plan Name:      | SPX US Pension Plan |
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| Plan Sponsor:   | SPX Corporation     |
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# **SCHEDULE SB ATTACHMENTS**

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## **Schedule SB, Part V Summary of Plan Provisions as of January 1, 2013**

### **Plan Sponsor**

SPX Corporation

### **Plan**

SPX Corporation US Pension Plan

### **Effective Date and Most Recent Amendment**

The plan was originally effective July 1, 1997. The last amendment reflected herein was effective December 21, 2013.

### **Plan Year**

The twelve-month period beginning January 1.

### **Changes in Plan Provisions since Last Actuarial Valuation**

Effective December 31, 2012, the Pension Plan for Bargaining Unit Employees was merged into the Individual Account Retirement Plan and the plan was renamed SPX US Pension Plan. The results reflected in this report as of January 1, 2013 include the data, plan provisions, and methods previously employed by the two separate plans.

## ***Section 1: Former Bargaining Plan***

### **Summary of Principal Plan Provisions – Waukesha Goldsboro**

### **Effective Date and Most Recent Amendment**

The plan was originally effective January 1, 1969. The last amendment reflected herein was effective December 17, 2008.

|                 |                     |
|-----------------|---------------------|
| Plan Name:      | SPX US Pension Plan |
| EIN / PN:       | 38-1016240 / 003    |
| Plan Sponsor:   | SPX Corporation     |
| Valuation Date: | January 1, 2013     |

## SCHEDULE SB ATTACHMENTS

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### Coverage and Participation

Hourly employees in the bargaining units represented by the Communications Workers of America, Local 3676-Waukesha, Goldsboro, NC. Participation begins the first day of employment for employees hired before August 1, 2004. Participation is closed to new participants as of August 1, 2004.

In addition, there are inactive participants at various other locations (terminated vested and retirees) who are covered by this plan.

### Credited Service

Credited Service is used to determine benefit amounts under the plan. For each calendar year of employment, if a participant works at least 1,750 hours, one year of credited service is granted. For a year in which less than 1,750 hours are worked, a partial year of credited service is granted as follows:

| Hours          | Credited Service |
|----------------|------------------|
| 1,750 or more  | 1.0              |
| 1,575 to 1,749 | 0.9              |
| 1,400 to 1,574 | 0.8              |
| 1,225 to 1,300 | 0.7              |
| 1,050 to 1,224 | 0.6              |
| 875 to 1,049   | 0.5              |
| 700 to 874     | 0.4              |
| 525 to 699     | 0.3              |
| 350 to 524     | 0.2              |
| Less than 350  | 0.0              |

Except for military leave and certain leaves for union business, credited service does not accrue during unpaid leaves of absence.

### Vesting (Continuous) Service

Elapsed time. Continuous service is used to determine eligibility for benefits under the plan. It is measured from date of hire to date of termination. Participants that terminate and are rehired within 12 months have the period of absence recognized as continuous service.

### Final Average Compensation/Salary

N/A

### Normal Retirement Benefit

Plan Name: SPX US Pension Plan  
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Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

## SCHEDULE SB ATTACHMENTS

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Normal Retirement Date: First of the month coinciding with or next following 65th birthday.

Benefit Formula: The monthly benefit is determined by multiplying the Credited Service by the benefit rate according to the following schedule for terminating retirements prior to August 1, 2001:

- \$12.00 for years of Credited Service prior to January 1, 1999.
- \$14.00 for years of Credited Service after January 1, 1999.

For terminations and retirements on or after August 1, 2001:

- \$15.00 for years of Credited Service prior to January 1, 1999.
- \$18.00 for years of Credited Service after January 1, 1999 (if retire prior to July 1, 2010)
- \$20.00 for years of Credited Service after January 1, 1999 (if retire on or after July 1, 2010)

Normal Form of Benefit: Life annuity if unmarried. 50% joint & surviving spouse, if married.

### **Late Retirement Benefit**

The greater of the accrued benefit to actual retirement date and the accrued benefit at normal retirement actuarially increased to late retirement date. If a vested deferred participant applies after normal retirement date, retroactive annuity start date rules apply.

### **Early Retirement Benefit**

Eligibility: Age 55 and 15 years of Continuous Service.

Benefit: Normal Retirement benefit calculated based on Benefit Rate and Credited Service at early retirement. Reduced  $\frac{1}{2}$  of 1% per month for commencement before age 65.

### **Disability Benefit**

Eligibility: 10 years of Continuous Service and eligible for Federal Social Security Disability benefits.

Benefit: Normal retirement benefit based on credited service and benefit rate at disability date. Payable only as life annuity regardless of marital status.

### **Vested Benefits upon Termination of Service**

Vesting: 5 years of Continuous Service.

|                 |                     |
|-----------------|---------------------|
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## SCHEDULE SB ATTACHMENTS

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Termination Benefit: Normal retirement benefit based on credited service and benefit rate at termination. Payable at age 55 reduced  $\frac{1}{2}$  of 1% for each month preceding age 65.

### Death Benefits for Participants in Active Service

Eligibility: Available to surviving spouse of participants eligible for normal, early, deferred vested or those receiving a disability pension. Upon death of participant, the surviving spouse (married at least one year as of date of death) shall receive a 50% survivor benefit. Benefit payable at age 65 but if participant died as active employee, eligible for early retirement benefit payable at age 55. Surviving spouses of active employees or deferred vested with 15 years Continuous Service or disability pensioner also eligible to commence at age 55.

Benefit: Benefit reduced  $\frac{1}{2}$  of 1% per month for payment before normal retirement date and further reduced for joint & survivor option.

### Optional Forms of Retirement Income in Lieu of Normal Form

- Life annuity if married.
- 50%, 60%, 66-2/3%, 75% or 100% Joint & Survivor.
- 5 and 10 Year Certain & Life.
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$5,000.

### Changes in Plan Provisions since Last Actuarial Valuation

None.

|                 |                     |
|-----------------|---------------------|
| Plan Name:      | SPX US Pension Plan |
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| Plan Sponsor:   | SPX Corporation     |
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# SCHEDULE SB ATTACHMENTS

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## Summary of Principal Plan Provisions – Filtran

### Effective Date and Most Recent Amendment

The plan was originally effective July 1, 1983. The last amendment reflected herein was effective December 22, 2009.

Effective as of the divestiture of the Filtran business unit to Madison Capital Partners, active participants under the Plan who were immediately employed at the Filtran business unit prior to the divestiture shall be considered to have terminated employment with the company for purposes of the Plan and shall be fully vested in Plan benefits. Filtran was sold on October 23, 2009.

### Coverage and Participation

Hourly employees in the bargaining unit represented by the International Association of Bridge, Structural & Ornamental Iron Workers (AFL-CIO), Shopmen's Local 473.

An employee shall become eligible to participate on the first day of employment that he is covered by the collective bargaining agreement.

### Credited Service

A participant shall be granted one year of Credited Service for each Plan Year in which he has at least 1,740 hours. If less than 1,740 hours, the participant will receive Credited Service as follows:

| Hours         | Credited Service   |
|---------------|--------------------|
| 1,305 – 1,739 | $\frac{3}{4}$ year |
| 870 – 1,304   | $\frac{1}{2}$ year |
| 435 – 869     | $\frac{1}{4}$ year |
| Less than 435 | None               |

Credited Service limited to maximum of 40 years.

### Vesting Service

An employee shall be granted one year of Vesting Service for each plan year in which he has at least 870 hours. If less than 870, but more than 434, an employee receives  $\frac{1}{4}$  year of Vesting Service.

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Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

## SCHEDULE SB ATTACHMENTS

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### Normal Retirement Benefit

Normal Retirement Date: First of the month coinciding with or next following 65th birthday.

Benefit Formula: The monthly benefit is determined by multiplying the Credited Service limited to a maximum of 40 years by the benefit rate according to the following schedule:

| Effective Date     | Rate    |
|--------------------|---------|
| 05/01/1996         | \$25.00 |
| 05/01/1998         | \$26.00 |
| 05/01/1999         | \$27.00 |
| 05/01/2000         | \$28.00 |
| 05/01/2008 & after | \$31.00 |

Normal Form of Benefit: Life annuity if unmarried. 50% joint & surviving spouse, if married.

### Late Retirement Benefit

The greater of the accrued benefit to actual retirement date and the accrued benefit at normal retirement actuarially increased to late retirement date. If a vested deferred participant applies after normal retirement date, retroactive annuity start date rules apply.

### Early Retirement Benefit

Eligibility: Age 60 and 10 years of Vesting Service.

Benefit: The Accrued Normal Retirement benefit reduced 3/10ths of 1% per complete calendar month benefit commences prior to age 65 for retirements after May 1, 2004.

For retirements prior to May 1, 2004, the Accrued Normal Retirement benefit reduced 6/10ths of 1% per complete calendar month benefit commences prior to age 65.

### Disability Benefit

Eligibility: 10 years of Vesting Service when a participant suffers a Total and Permanent Disability while in the employment of the Company prior to age 65.

Benefit: Normal retirement benefit based on Credited Service and benefit rate at disability date offset by Workers Compensation and other payments resulting from programs to which the Employer is required to contribute by federal and state law.

Plan Name: SPX US Pension Plan  
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### Vested Benefits Upon Termination of Service

Vesting: 5 years of Vesting Service.

Termination Benefit: Normal retirement benefit based on credited service and benefit rate at termination. The accrued Normal Retirement Benefit will be reduced 6/10ths of 1% for each complete calendar month the benefit commences prior to age 65.

### Death Benefits for Terminated Vested Participants

Eligibility: A Qualified Preretirement Survivor Annuity is available to the surviving spouse of participants eligible for a normal, early, deferred vested or disability pension.

Benefit: 50% of the participant's normal retirement benefit payable as a Qualified Joint & Survivor annuity at the earliest retirement age.

### Death Benefits for Participants in Active Service

Eligibility: Preretirement Beneficiary Annuity is available to the beneficiary of an unmarried vested participant who dies.

Surviving Spouse Benefit is available to the spouse of a vested participant.

Benefit: The Surviving Spouse Benefit and the Preretirement Beneficiary Annuity is a life annuity equal to the Credited Service of the deceased participant (max. 40) multiplied by the following:

| Effective Date     | Rate    |
|--------------------|---------|
| 05/01/1996         | \$12.50 |
| 05/01/1998         | \$13.00 |
| 05/01/1999         | \$13.50 |
| 05/01/2000         | \$14.00 |
| 05/01/2008 & after | \$15.50 |

If the Beneficiary or Spouse is 10 or more years younger than the participant, the benefit shall be reduced by ½ of 1% for each full 12 months in excess of 10 years.

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### Optional Forms of Retirement Income in Lieu of Normal Form

- Life annuity if married.
- 50%, 75% or 100% Joint & Survivor.
- 10 Year Certain & Life.
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$25,000.

### Changes in Plan Provisions since Last Actuarial Valuation

None.

|                 |                     |
|-----------------|---------------------|
| Plan Name:      | SPX US Pension Plan |
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| Plan Sponsor:   | SPX Corporation     |
| Valuation Date: | January 1, 2013     |

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## Summary of Principal Plan Provisions – Marley Electric Heating- Bennettsville

### Effective Date and Most Recent Amendment

The plan was originally effective July 26, 1986.

### Coverage and Participation

Hourly paid employees of the Marley Engineering Products division in Bennettsville, SC.

Service is used to determine eligibility for participation in the Plan. One year for 1,000 hours of service in 12-month period starting on date of hire. If <1,000 hours in 12-month period, employee needs 1,000 hours in any plan year after his date of hire to earn a year of eligibility service.

### Credited Service

Credited Service is used to determine benefit amounts under the Plan. One year for each plan year from date of hire, not prior to July 15, 1986 with at least 1,000 Hours of Service.

### Vesting Service

Vesting service is used to determine eligibility for benefits under the Plan. One year for each 12-month period from date of hire with at least 1,000 Hours of Service.

### Normal Retirement Benefit

Normal Retirement Date: First month following 65th birthday and five years of vesting service.

Benefit Formula: Accrued benefit at normal retirement date.

Normal Form of Benefit: Life annuity if unmarried. 50% joint & surviving spouse, if married.

### Late Retirement Benefit

Accrued benefit to actual retirement date.

### Accrued Benefits

\$120 x year of credited service.

Plan Name: SPX US Pension Plan  
EIN / PN: 38-1016240 / 003  
Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

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## Early Retirement Benefit

Eligibility: Age 55 and 10 years of Vesting Service.

Benefit: Accrued benefit at early retirement date actuarially reduced for each month early retirement precedes normal retirement date.

## Disability Benefit

Eligibility: 10 years of credited service and totally and permanently disabled.

Benefit: Accrued benefit at date of disablement. Amount may be reduced by any amount received from other company funded sources, such as Worker's Compensation.

## Vested Benefits upon Termination of Service

Vesting: 5 years of Vesting Service.

Termination Benefit: Normal retirement benefit based on credited service and benefit rate at termination. The accrued Normal Retirement Benefit will be actuarially reduced for each month early retirement precedes normal retirement date.

## Death Benefits for Participants in Active Service

Eligibility: Five years of vesting service and married at least one year.

Benefit: Deferred vested benefit is same as Normal or Early Retirement Benefit.

Pre-retirement surviving spouse benefit is equal to survivor portion of the 50% Joint & Survivor benefit reduced for payment before Normal Retirement Date.

## Optional Forms of Retirement Income in Lieu of Normal Form

- Life annuity if married.
- 50%, 75% or 100% Joint & Survivor.
- 10 Year Certain & Life.
- Social Security adjustment option.
- Automatic cashout if the present value of the benefit is \$1,000 or less.

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- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$5,000.

### Changes in Plan Provisions since Last Actuarial Valuation

None.

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Plan Sponsor: SPX Corporation  
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## Summary of Principal Plan Provisions – Weil McLain-Benton Harbor

### Effective Date and Most Recent Amendment

The plan was originally effective February 1, 1968. The last amendment reflected herein was effective February 1, 1999.

### Coverage and Participation

Service is used to determine eligibility for participation in the Plan. One year for 1,000 hours of service in 12-month period starting on date of hire. If <1,000 hours in 12-month period, employee needs 1,000 hours in any plan year after his date of hire to earn a year of eligibility service.

### Credited Service

One year for each plan year with at least 1,000 hours of service.

### Vesting Service

One year for each 12-month period from date of hire with at least 1,000 hours of service.

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### Accrued Benefit

Monthly Accrued Benefit is \$24.50 x years of credited service.

|                       | Rate    |
|-----------------------|---------|
| 2/1/1979 to 1/31/1980 | \$9.00  |
| 2/1/1980 to 1/31/1981 | \$10.00 |
| 2/1/1981 to 1/31/1982 | \$12.00 |
| 2/1/1982 to 1/31/1983 | \$12.00 |
| 2/1/1983 to 1/31/1984 | \$12.00 |
| 2/1/1984 to 1/31/1985 | \$12.00 |
| 2/1/1985 to 1/31/1986 | \$14.00 |
| 2/1/1986 to 1/31/1987 | \$14.50 |
| 2/1/1987 to 1/31/1988 | \$15.00 |
| 2/1/1988 to 1/31/1990 | \$16.00 |
| 2/1/1990 to 1/31/1991 | \$16.50 |
| 2/1/1991 to 1/31/1992 | \$17.00 |
| 2/1/1992 to 1/31/1993 | \$17.50 |
| 2/1/1993 to 1/31/1994 | \$18.00 |
| 2/1/1994 to 1/31/1995 | \$18.50 |
| 2/1/1995 to 1/31/1996 | \$19.00 |
| 2/1/1996 to 1/31/1997 | \$19.50 |
| 2/1/1998 to 1/31/1999 | \$20.50 |
| 2/1/1999 & after      | \$24.50 |

### Normal Retirement Benefit

Normal Retirement Date: First month following 65<sup>th</sup> birthday and five years of vesting service.

Benefit Formula: Accrued benefit at normal retirement date.

Normal Form of Benefit: Life annuity if unmarried. 50% joint & surviving spouse, if married.

Mandatory lump sum if the present value is less than \$1,000.

### Late Retirement Benefit

Accrued benefit to actual retirement date.

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## Early Retirement Benefit

Eligibility: Age 55 and 10 years of vesting service.

Benefit: Accrued benefit at early retirement date actuarially reduced for each month early retirement precedes normal retirement date.

## Disability Benefit

Eligibility: 15 years of credited service and permanently and totally disabled.

Benefit: Accrued benefit at date of disablement. Amount may be reduced by any amount received from other Company funded sources, such as Worker's Compensation.

## Vested Benefits upon Termination of Service

Vesting: 5 years of vesting service.

Termination Benefit: Normal retirement benefit based on credited service and benefit rate at termination. The accrued Normal Retirement Benefit will be actuarially reduced for each month early retirement precedes normal retirement date.

## Death Benefits for Participants in Active Service

Eligibility: Five years of vesting service and married at least 1 year.

Benefit: 50% of accrued benefit reduced for payment before Normal Retirement Date and for 50% joint and survivor option; benefit payable at the later of participant's date of death and early retirement date (normal retirement date if not eligible for early retirement).

## Optional Forms of Retirement Income in Lieu of Normal Form

- 50%, 75% or 100% Joint & Survivor
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$5,000.

## Changes in Plan Provisions since Last Actuarial Valuation

None.

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Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

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## Summary of Principal Plan Provisions – Fenn

### Effective Date and Most Recent Amendment

The plan was originally effective January 1, 1959. The last amendment reflected herein was effective March 5, 2012.

### Coverage and Participation

Active employees are eligible immediately on date of hire.

Participation in plan was frozen effective March 6, 2007. No new entrants into the plan on and after this date.

### Credited Service

Credited Service is used to determine benefit amounts under the Plan.

| Plan Year Hours of Service | Credited Service |
|----------------------------|------------------|
| 1,700 or more              | 1.0              |
| 1,530 – 1,699              | .9               |
| 1,360 – 1,529              | .8               |
| 1,190 – 1,359              | .7               |
| 1,020 – 1,189              | .6               |
| 850 – 1,019                | .5               |
| 680 – 849                  | .4               |
| 510 – 679                  | .3               |
| 340 – 509                  | .2               |
| 170 – 339                  | .1               |
| Less than 170              | 0                |

### Vesting Service

Vesting service is used to determine eligibility for benefits under the Plan. One year for each plan year with at least 1,000 Hours of Service.

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Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

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## Normal Retirement Benefit

Normal Retirement Date: First of month following 65th birthday and five years of vesting service.

Benefit Formula: Accrued benefit at Normal Retirement Date.

Normal Form of Benefit: Life annuity (normal form for single employees); 50% joint & survivor annuity (normal form for married employees).

## Late Retirement Benefit

Accrued benefit to actual retirement date.

## Accrued Benefits

- If retiring 6/1/2001-3/9/2003: \$360 x years of credited service
- If retiring 3/10/2003-3/9/2004: \$384 x years of credited service
- If retiring 3/10/2004-3/9/2005: \$408 x years of credited service
- If retiring 3/10/2005-3/9/2006: \$432 x years of credited service
- If retiring 3/10/2006-2/28/2008: \$444 x years of credited service
- If retiring 3/1/2008-2/28/2009: \$456 x years of credited service
- If retiring 3/1/2009-2/28/2011: \$468 x years of credited service
- If retiring on or after 3/1/2011: \$480 x years of credited service
- If retiring on or after 3/5/2012: \$492 x years of credited service
- If retiring on or after 3/1/2013: \$498 x years of credited service
- If retiring on or after 3/1/2014: \$504 x years of credited service
- If retiring on or after 3/1/2015: \$510 x years of credited service
- If retiring on or after 3/1/2016: \$522 x years of credited service

## Early Retirement Benefit

Eligibility: Age 55 and 15 years of vesting service.

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Benefit: Accrued benefit at Early Retirement Date, benefit reduced by 0.4% for each month early retirement precedes Normal Retirement Date.

### Disability Benefit

Eligibility: 10 years of credited service and permanently and totally disabled.

Benefit: Accrued benefit at date of disablement. Amount may be reduced by any amount received from other Company funded sources, such as Worker's Compensation.

### Vested Benefits upon Termination of Service

Vesting: 5 years of vesting service.

Termination Benefit: Normal Retirement Benefit based on credited service and benefit rate at termination. The accrued Normal Retirement Benefit will be reduced by 0.4% for each month early retirement precedes Normal Retirement Date.

### Death Benefits for Participants in Active Service

Eligibility: Five years of vesting service and married at least one year.

Benefit: 50% of accrued benefit reduced for payment before Normal Retirement Date and for 50% joint and survivor option; benefit payable at the later of participant's date of death and Early Retirement Date (Normal Retirement Date if not eligible for Early Retirement).

### Optional Forms of Retirement Income in Lieu of Normal Form

- 50%, 75% or 100% Joint & Survivor option.
- 10-year Certain and Life.
- Level income option.
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$5,000.

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### Changes in Plan Provisions since Last Actuarial Valuation

The Bargaining Plan was amended for the Precision Components group (formerly FENN) effective March 5, 2012. The Amendment increased the pension benefit multiplier from the current rate of \$40 per month per year of service as follows:

| Benefit Multiplier | For Retirements on or After |
|--------------------|-----------------------------|
| \$41.00            | March 5, 2012               |
| \$41.50            | March 1, 2013               |
| \$42.00            | March 1, 2014               |
| \$42.50            | March 1, 2015               |
| \$43.50            | March 1, 2016               |

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## Summary of Principal Plan Provisions – MCTC (Olathe)

### Effective Date and Most Recent Amendment

The plan was originally effective September 2, 1955. The last amendment reflected herein was effective December 31, 2003.

### Coverage and Participation

January 1 or July 1 following the completion of one year of eligibility service. Service is used to determine eligibility for participation in the Plan. One year for 1,000 hours of service in 12-month period starting on date of hire. If <1,000 hours in 12-month period, employee needs 1,000 hours in any plan year after his date of hire to earn a year of eligibility service.

Participation in the plan closed to new entrants on January 1, 2004.

### Credited Service

Credited Service is used to determine benefit amounts under the Plan. Credited service is frozen as of December 31, 2003.

Prior to November 1, 1976: completed years and months of continuous service from date of hire.

After November 1, 1976:

| Plan Year Hours of Service | Credited Service |
|----------------------------|------------------|
| 2,050 or more              | 1                |
| 1,881 - 2,049              | 11/12            |
| 1,710 - 1,880              | 10/12            |
| 1,540 - 1,709              | 9/12             |
| 1,264 - 1,539              | 8/12             |
| 1,195 - 1,263              | 7/12             |
| 1,026 - 1,194              | 6/12             |
| 855 - 1,025                | 5/12             |
| 684 – 854                  | 4/12             |
| 510 – 683                  | 3/12             |
| 340 - 509                  | 2/12             |
| 170 - 339                  | 1/12             |
| Less than 170              | 0                |

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2/12 of a year of credited service is awarded for the short plan year November 1, 1982 – December 31, 1982 if one hour of service was completed.

Credited service is frozen as of December 31, 2003.

### **Vesting Service**

Prior to October 1, 1976, completed years and months of continuous employment from date of hire; after October 1, 1976, one year for each plan year with at least 1,000 Hours of Service. If at least one hour of service in short 1982 plan year, one year of service is given.

### **Normal Retirement Benefit**

Normal Retirement Date: First of month following 65th birthday and five years of vesting service.

Benefit Formula:

- If retiring 1/1/2000-12/31/2000: \$264 x years of credited service
- If retiring 1/1/2001-12/31/2001: \$300 x years of credited service
- If retiring 1/1/2002-12/31/2002: \$336 x years of credited service
- If retiring on or after 1/1/2003: \$384 x years of credited service

Normal Form of Benefit: Life annuity (normal form for single employees); 50% joint & survivor annuity (normal form for married employees).

### **Late Retirement Benefit**

Accrued benefit to actual retirement date.

### **Early Retirement Benefit**

Eligibility: Age 55 and 10 years of vesting service.

Benefit: Accrued benefit actuarially reduced for each month early retirement precedes Normal Retirement Date.

### **Vested Benefits upon Termination of Service**

Vesting: 5 years of vesting service.

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Termination Benefit: Accrued benefit actuarially reduced for each month early retirement precedes Normal Retirement Date.

### **Death Benefits for Participants in Active Service**

Eligibility: 5 years of vesting service and married at least one year.

Benefit: 50% of accrued benefit reduced for payment before Normal Retirement Date and for 50% joint and survivor option; benefit payable at the later of participant's date of death and Early Retirement Date (Normal Retirement Date if not eligible for Early Retirement).

### **Optional Forms of Retirement Income in Lieu of Normal Form**

- 50%, 75%, or 100% joint & survivor option.
- Social Security adjustment option.
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$5,000.

### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## Summary of Principal Plan Provisions – Weil McLain - Michigan City

### Effective Date and Most Recent Amendment

The plan was originally effective July 1, 1967. The last amendment reflected herein was effective June 1, 2009.

### Coverage and Participation

Date of hire. Service is used to determine eligibility for participation in the Plan. One year for 1,000 hours of service in 12-month period starting on date of hire. If <1,000 hours in 12-month period, employee needs 1,000 hours in any plan year after his date of hire to earn a year of eligibility service.

Participation in the plan closed to new entrants as of June 1, 2009.

### Credited Service

One year for each plan year with at least 1,000 hours of service.

### Vesting Service

Vesting service is used to determine eligibility for benefits under the Plan. One year for each 12 month period from date of hire with at least 1,000 Hours of Service.

### Normal Retirement Benefit

Normal Retirement Date: First month following 65<sup>th</sup> birthday and five years of vesting service.

Benefit Formula: If retiring on or after June 1, 2003 - \$300 x years of credited service.

Normal Form of Benefit: Life annuity (normal form for single employees); 50% joint & survivor annuity (normal form for married employees).

### Late Retirement Benefit

Accrued benefit to actual retirement date.

### Early Retirement Benefit

Eligibility: Age 55 and 10 years of vesting service.

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Benefit: Accrued benefit actuarially reduced for each month early retirement precedes Normal Retirement Date.

### Disability Benefit

Eligibility: 10 years of credited service and permanently and totally disabled.

Benefit: Accrued benefit at date of disablement. Amount may be reduced by any amount received from other Company funded sources, such as Worker's Compensation.

### Vested Benefits upon Termination of Service

Vesting: 5 years of vesting service.

Termination Benefit: Accrued benefit actuarially reduced for each month early retirement precedes Normal Retirement Date.

### Death Benefits for Participants in Active Service

Eligibility: Five years of vesting service and married at least one year.

Benefit: 50% of accrued benefit reduced for payment before Normal Retirement Date and for 50% joint and survivor option; benefit payable at the later of participant's date of death and Early Retirement Date (Normal Retirement Date if not eligible for Early Retirement).

### Optional Forms of Retirement Income in Lieu of Normal Form

- Life annuity if married.
- 50%, 75%, or 100% Joint & Survivor option.
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000 but does not exceed \$5,000.

### Changes in Plan Provisions since Last Actuarial Valuation

None.

Plan Name: SPX US Pension Plan  
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## Summary of Principal Plan Provisions – Core Union

### Effective Date and Most Recent Amendment

The plan was originally effective July 1, 1984. The last amendment reflected herein is effective July 1, 1992.

### Coverage and Participation

All hourly employees of the Great Lakes/Eglinton Division on the January 1 or July 1 following date of hire and completion of six months of employment.

Participation in the plan was closed to new entrants November 1, 2010.

### Credited Service

One year for each 1,800-hour calendar year of employment. Partial years of service are granted for each year in which a participant works less than 1,800 hours, but greater than 150. Partial years are determined by the fraction of hours worked over 1,800 rounded to three decimal points.

### Vesting Service

One year for each 1,000-hour calendar year of employment. Partial years of service are not granted for vesting.

### Pensionable Pay

Base earnings.

### Normal Retirement Benefit

Normal Retirement Date: First of month coinciding with or next following the attainment of age 65.

Benefit Formula: The product of a and b but not less than c:

- a. 1.1% of Average Monthly Earnings.
- b. Years of Credited Service, not in excess of 30.
- c. The maximum of \$36 or the participant's accrued benefit as of August 31, 1995.

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Normal Form of Benefit: Monthly benefit payable for life with ten years of payments guaranteed, if unmarried. 50% joint and surviving spouse, if married.

### Late Retirement Benefit

Greater of Accrued benefit to actual retirement date or Normal Retirement Benefit actuarially increased to Late Retirement Date.

### Early Retirement Benefit

Eligibility: Retirement before Normal Retirement Date and on or after both attaining age 55 and completing fifteen years of vesting service.

Benefit: Monthly pension benefit determined as of early retirement date, reduced 5/9 of 1% for each of the first 60 months and 5/18 of 1% for each additional month by which his Early Retirement Date precedes his Normal Retirement Date.

### Disability Benefit

Eligibility: Three years of service and participant becomes permanently disabled.

Benefit: Accrued benefit at date of disability.

### Vested Benefits upon Termination of Service

Vesting: 100% vested after 7 years of service, otherwise vest according to the following schedule:

| Years of Service | Vesting Percent |
|------------------|-----------------|
| < 3 years        | 0%              |
| 3 to 4 years     | 20%             |
| 4 to 5 years     | 40%             |
| 5 to 6 years     | 60%             |
| 6 to 7 years     | 80%             |

Active participants on January 1, 2002 become fully vested in their accrued benefit on that date.

Termination Benefit: Benefits the same as the normal retirement benefit.

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### Death Benefits

Eligibility: 3 years of service.

Benefit Before Normal Retirement: 50% of the vested monthly pension benefit as of the date of death, reduced for the 50% joint and survivor election and reduced for payment as early as the participant's 55<sup>th</sup> birthday.

Benefit After Normal Retirement: Monthly preretirement spouse benefit is payable.

### Optional Forms of Retirement Income in Lieu of Normal Form

- 10 Year Certain and life.
- 50%, 66-2/3%, 75%, or 100% joint & survivor option.
- 50%, 66-2/3%, or 100% joint & survivor with a level income option.
- Automatic cashout if the present value of the benefit is \$1,000 or less.
- Voluntary cashout if the present value of the benefit exceeds \$1,000.

### Changes in Plan Provisions since Last Actuarial Valuation

None.

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### **Summary of Principal Plan Provisions – Other Inactive Participants**

#### **Effective Date and Most Recent Amendment**

Former UDI: Merged in effective December 31, 2001.

Former GSX: Most plans merged in effective November 30, 1998.

Old SPX: Effective date as it appears on the separate documents for each participating unit.

#### **Provisions**

Based upon separate documents for each participating unit. No active participants remain.

#### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## *Section 2: All Other Participants*

### **Summary of Principal Plan Provisions – Main IARP**

#### **Effective Date**

The plan was originally effective July 1, 1997. The last amendment reflected herein is effective December 22, 2009.

#### **Coverage and Participation**

Salary, nonunion hourly employees and union Waukesha employees, except those employed as wage employees at Contech or Acutex, of SPX Corporation. Employees hired after December 31, 2000 are not covered by this plan.

An employee shall become eligible to participate on his date of hire if he is employed as of the first anniversary of employment or date of coverage under this plan if later.

#### **Credited Service**

A participant is granted Credited Service equal to continuous service as a salaried employee based on complete years and days divided by 365 rounded up to the nearest one hundredth of a percent. After June 30, 1997 additional Credited Service will accrue only for Grandfathered participants. Certain acquisitions may have granted service for periods with a prior employer. This must be by amendment.

#### **Vesting (Continuous) Service**

An employee shall be granted one year of Continuous Service for each complete year of employment with the Company from date of hire. For partial years, days are divided by 365 and rounded up to the nearest one hundredth of a percent. Certain acquisitions may have granted service for periods with a prior employer. This must be by amendment.

#### **Compensation**

Cash Balance compensation includes regular earnings, vacation, holiday, overtime pay and certain bonuses paid the year before termination. It also includes amounts contributed to the 401(k) plan and the cafeteria plan. It does not include severance pay, fringe and welfare benefits, moving expenses, deferred compensation and certain bonuses paid in the year in which termination occurs.

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## Normal Retirement Benefit

Normal Retirement Eligibility: Age 65 with 5 years of Vesting Service

Benefit Formula: For all active participants on July 1, 1997 (December 31, 1998 for the General Signal Corporate or Hourly Plan), the Accrued Benefit was converted to an initial pension account balance. The plan will update this cash balance account each December 31:

With interest at 5-year treasuries as of the last business day of November preceding the plan year; and

With principal credits equal to 4% of pay up to the wage base and 8% of pay over the wage base.

With additional principal credits for certain key employees.

Grandfathered or participants with transition benefits are entitled to receive at least the minimum benefit as described under the individual plan agreements.

Normal Form of Benefit: The standard form of payment is a Life Annuity if unmarried and a 50% Joint & Survivor Annuity, if married. The 50% Joint & Survivor Annuity is the Life Annuity actuarially reduced.

## Late Retirement Benefit

The greater of the accrued benefit to actual retirement date and the accrued benefit at normal retirement actuarially increased to late retirement date. If a vested deferred participant applies after normal retirement date, retroactive annuity start date rules apply.

## Accrued Benefits

The Accrued Benefit is the Account Balance as of the date of determination and the actuarial equivalence of this Account Balance in the form of a monthly benefit payable immediately. The Grandfathered Accrued Benefit is the benefit determined under the various Grandfathered and transition benefit provisions as of the date of determination payable at the Normal Retirement Age.

## Grandfathered Minimum Accrued Benefits

Benefits accrued prior to conversion to a cash balance plan are protected. SPX participants with 10 years of service and 50 age-plus-service points on June 30, 1997 will receive the greater of their cash balance benefit or the benefit formula in effect at conversion.

General Signal participants on January 1, 1999 who had completed 5 years of Vesting Service and attained age 45 by that date are eligible for the Transition Benefit if retirement occurs at or after age 55.

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The Transition Benefit shall be an alternate benefit, determined as follows:

- A. The Participant's Transition Account Balance at Early Retirement Age, which is at or after age 55, shall be converted to an Actuarially Equivalent annuity, payable at Normal Retirement Age. The Participant's Transition Account Balance is the same as the regular cash balance account, with the exception that effective January 1, 1999, certain employees are entitled to Special Transition Principal Credits equal to 7% of pay up to the wage base and 11% of pay over the wage base.
- B. The monthly amount payable (determined above) to the Participant at Normal Retirement Age shall be reduced by  $\frac{1}{4}$  percent per month for each month prior to the participant's 62<sup>nd</sup> birthday that the participant's Early Retirement Date occurs.
- C. The Participant may request payment of his/her benefit in any optional form otherwise available under the Plan. The amount of any optional form of benefit shall be the Actuarial Equivalent of the amount determined above, expressed as a single life annuity. If the Participant requests a lump sum payment, the Actuarial Equivalent of the amount payable at the Participant's Early Retirement Age shall be determined and, if larger than the Participant's Account Balance, shall be paid instead of the account balance.

### Early Retirement Benefit

Eligibility: Age 55 with 10 years of Credited Service for participants with a prior SPX Grandfathered benefit at June 30, 1997. Age 55 with 5 years of Vesting Service for former General Signal employees who were participants in a prior plan as of December 31, 1998, and eligible for transition benefit.

Benefit: The actuarial equivalent of the Account Balance is available as an annuity at early retirement.

SPX Grandfathered Benefits: If retirement is within three years of the SSURA, 100% of the accrued Normal Retirement Benefit. If retirement is more than three years before the SSURA, the Normal Retirement Benefit accrued at the Early Retirement Age is reduced by 5/10 of 1% for each month in excess of 36 by which commencement of benefits precedes the SSURA.

OTC Grandfathered Benefits: The reduction is 5/9 of 1% for each month of the first 60 months and 5/18 of 1% per month for each of the following months preceding SSURA.

Automotive Diagnostics Division Grandfathered Benefits: The reduction is  $\frac{1}{2}$ % for each month prior to age 65.

General Signal Frozen December 31, 1998 Benefits: The early retirement reductions were generally  $\frac{1}{4}$ % for each month prior to age 62.

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## Disability Benefit

Eligibility: Upon permanent and Total Disability as defined under the company's Long-Term Disability plan.

Benefit: Normal retirement benefit payable at Normal Retirement Age based on pay at disability date but Credited Service continuing for two years from date of disability, or Account Balance credited with Principal Credits for two years from date of disability based on compensation at date of disability plus interest credits.

## Vested Benefits upon Termination of Service

Vesting: 3 years of Vesting Service. Participants terminating prior to January 1, 2008, 5 years of Vesting Service.

Termination Benefit: Normal Retirement Benefit based on Accrued Benefit at date of termination. The benefit will be reduced by 5/10 of 1% times the number of months by which payments commence prior to SSURA. For Automotive Diagnostics Division only, the reduction is 1/2 of 1% for each month by which commencement precedes age 65.

## Accrued Benefits Prior to Cash Balance Conversion

For employees of SPX on July 1, 1997: The monthly benefit is the sum of A, B and C with a minimum monthly benefit of \$13 times Credited Service (no minimum for Automotive Diagnostics Division):

- A. 1% (0.85% for Automotive Diagnostics Division) of pay up to Covered Compensation times Credited Service up to 30 years.
- B. 1.5% (1.35% for Automotive Diagnostics Division) of pay over Covered Compensation times Credited Service up to 30 years.
- C. 0.75% (0.375% for OTC, 0.6% for Automotive Diagnostics Division) of pay times Credited Service in excess of 30 but not over 40 years.

For General Signal Plans on December 31, 1998: The greatest of D, E, F or G:

- D. 1% of pay up to Covered Compensation plus 1.5% of pay over Covered Compensation times Credited Service during the first 10 years of Benefit Service; plus 1.25% of pay up to Covered Compensation plus 1.75% of pay over Covered Compensation times Credited Service during the next 20 years of Benefit Service; plus 1.5% of pay times Credited Service during Benefit Service over 30 years; plus prior plan benefit, if applicable.
- E. Formula (A) based on Benefit Service as of December 31, 1988 plus 1.125% of pay times Credited Service earned January 1, 1989 and later plus prior plan benefit, if applicable.
- F. \$9.50 times Credited Service plus prior plan benefit, if applicable.

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G. Hourly Plan benefit.

### **Death Benefits for Participants in Active Service**

Eligibility: Upon the death of a participant eligible for a vested retirement benefit before the commencement of such benefits.

Benefit: Monthly benefit equal to 50% of the benefit to which the participant would have been entitled had he survived to early retirement and commenced benefits just prior to death under the automatic 50% Joint & Survivor Form of benefit.

Cash balance surviving spouses will have the option of electing the full Account Balance. Death benefits are also available to nonspouse beneficiaries.

### **Optional Forms of Retirement Income in Lieu of Normal Form**

Lump Sum.

Life Annuity.

50%, 66-2/3%, 75% or 100% actuarially reduced Joint & Survivor Annuity with any beneficiary.

10, 15 or 20-year period certain and life benefit actuarially reduced with any beneficiary.

Automatic cashout if \$1,000 or less. There is a voluntary cashout if the present value of the benefit exceeds \$1,000 unless specifically excluded for certain participants who were covered by prior plans that were merged into this plan and/or have special options detailed.

### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## Summary of Principal Plan Provisions – UDI Retirement Plan

### Effective Date

The plan was originally effective January 1, 1973 (merged into the SPX Individual Account Retirement Plan on December 31, 2001)

### Coverage and Participation

Prior to January 1, 1991: On date of hire.

January 1, 1991 or later: January 1 or July 1 following the completion of one year of eligibility service.

No new entrants after January 1, 2002.

Service is measured based on complete calendar years and months of employment. Partial months of service are also recognized and are determined by dividing the number of days of service in the month by the number of days in that month.

### Credited Service

Credited Service is used to determine benefit amounts under the Plan.

Credited Service is frozen as of January 1, 2002.

### Vesting Service

Vesting service is used to determine eligibility for benefits under the plan. Participants terminating prior to January 1, 2002 were 100% vested after five years of service.

Active participants on January 1, 2002 became fully vested in their accrued benefit on that date.

### Final Average Compensation/Salary (FAE)

Average of highest 5 consecutive full calendar years of covered pay in last 10 years.

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## Normal Retirement Benefit

Normal Retirement Date: Age 65 and the fifth anniversary of participation (or five years of vesting service, if earlier).

Benefit Formula: Accrued benefit at Normal Retirement Date

Normal Form of Benefit: Life annuity (normal form for single employees); 50% joint & survivor annuity (normal form for married employees).

## Late Retirement Benefit

Accrued benefit to actual retirement date.

## Accrued Benefits

Greatest of A, B, C, D, E, F, and G where FAE and credited service are as of the calculation date:

### A. Current Plan Formula:

0.8% of FAE up to covered compensation x credited service less than 35 years  
**plus**  
1.4% of FAE over covered compensation x credited service less than 35 years  
**plus**  
0.5% of FAE x credited service over 35 years

### B. Prior Plan Formula Frozen at December 31, 1989\*

### C. \$96 x credited service up to 40 years except for Fenn (\$168 x credited service up to 40 years)

### D. For members of the Plan as of December 31, 1978: benefit based upon formula in effect on December 31, 1978 and frozen at December 31, 1989\*

### E. Benefit from the Profit Sharing Retirement Fund Plan for the employees of Varco-Pruden who have not withdrawn their Profit Sharing

### F. For former members of the Stran, GA plan, the minimum accrued benefit will be based on the prior plan benefit as of December 31, 1990

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G. Cash refund annuity from prior Koehring Profit Sharing Plan balance plus 5% per year interest

- \* Frozen at December 31 1988 for super highly compensated employees. For non-highly compensated employees (at BOMAG, Little Falls, Waukesha, Process Equipment, and Fenn) who were at least age 50 with 10 years of service at December 31 1988, frozen on the day before first becoming a highly compensated employee.

Prior Waukesha Hourly participants receive the accrued benefit from the prior plan at December 31, 1991 plus future service benefits from the Retirement Plan.

On behalf of participants in the Retirement Plan on December 31, 1986, annuities were purchased covering the Accrued Benefits as of December 31, 1986. These annuities are offset against the total accrued benefit payable under the Plan.

### **Early Retirement Benefit**

Eligibility: Age 55 and 10 years of vesting service

Benefit: Accrued benefit at Early Retirement Date; benefit reduced 0.5% per month that early retirement date precedes Normal Retirement Date.

### **Disability Benefit**

Eligibility: Permanently and totally disabled and eligible for benefits from Social Security or Long Term Disability Plan.

Benefit: Accrued benefit at Normal Retirement Date, or reduced accrued benefit at Early Retirement Date, if elected, assuming level earnings from date of disability to retirement date; benefit payable at Normal Retirement Date, or Early Retirement Date, if elected.

### **Vested Benefits upon Termination of Service**

Termination Benefit: Benefit is the same as normal or early retirement, based on benefit earned at termination.

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### **Death Benefits for Participants in Active Service**

Eligibility: Five years of vesting service and married at least 1 year.

Benefit: 50% of accrued benefit reduced for 50% joint & survivor option; benefit payable at the later of participant's date of death and ERD (NRD if not eligible for Early Retirement); benefit reduced for payment before NRD if participant was terminated at date of death, not reduced if participant was active at date of death.

### **Optional Forms of Retirement Income in Lieu of Normal Form**

50%, 75%, or 100% joint & survivor annuity; 10-year certain & continuous; Social Security adjustment option.

Automatic cashout if \$1,000 or less. There is a voluntary cashout if the present value of the benefit exceeds \$1,000 and is less than \$5,000 unless specifically excluded for certain participants who were covered by prior plans that were merged into this plan and/or have special options detailed.

### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## Summary of Principal Plan Provisions – Marley Salaried

### Effective Date

The plan was originally effective December 26, 1957 (merged into the SPX Individual Account Retirement Plan on December 31, 2001).

### Coverage and Participation

Completion of one year of eligibility service.

Prior to January 1, 1991: On date of hire.

January 1, 1991 or later: January 1 or July 1 following the completion of one year of eligibility service.

No new entrants after January 1, 2002.

Service is measured based on complete calendar years and months of employment. Partial months of service are also recognized and are determined by dividing the number of days of service in the month by the number of days in that month.

### Credited Service

Credited service is used to determine benefit amounts under the Plan.

Credited service is frozen as of January 1, 2002.

### Vesting Service

Vesting Service is used to determine eligibility for benefits under the plan. Participants terminating prior to January 1, 2002 were 100% vested after 5 years of service.

Active participants on January 1, 2002 became fully vested in their accrued benefit on that date.

### Final Average Compensation/Salary

Average monthly compensation is the average of participant's highest earnings over any 60 consecutive month period within the last 120 months of employment.

|                 |                     |
|-----------------|---------------------|
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## Normal Retirement Benefit

Normal Retirement Eligibility: First month coinciding with or next following 65<sup>th</sup> birthday and 5 years of vesting service.

Benefit Formula: Accrued benefit at normal retirement date.

Normal Form of Benefit: Life annuity if single; 50% Joint and Survivor if married.

## Accrued Benefits

As of any applicable date, a participant's accrued benefit is the sum of the larger of 1 or 2 and 3, where

1. The sum of (a) and (b) below:
  - a. The sum of 1 % of Final Average Earnings plus 1/2% of the excess of the Final Average Earnings over \$6,600, all multiplied by Credited Service up to May 1, 1988;
  - b. The sum of 1% of the Final Average Earnings plus 1/2% of the excess of the Final Average Earnings over Covered Compensation, all multiplied by Credited Service after April 30, 1988; and
2. The difference between 40% of the Final Average Earnings and 60% of the participant's Primary Insurance Amount under the law in effect on the date of determination. If the participant is under 55 years old, the 40% factor will be adjusted by multiplying it by the ratio of credited service actually earned to the amount of credited service the participant could earn if he continued to work until normal retirement. This minimum benefit was frozen as of December 31, 1988 (i.e., participants were treated as if they terminated on December 31, 1988 for purposes of calculating this minimum benefit).
3. The frozen accrued benefit as of December 31, 1990 from the Retirement Annuity Plan for Employees of Layne & Bowler, Inc., if the employee was a participant in such prior plan on December 31, 1990.

## Early Retirement Benefit

Eligibility: Age 55 and 10 years of vesting service.

Benefit: Accrued benefit at Normal Retirement Date actuarially reduced to Early Retirement Date.

## Late Retirement Benefit

The greater of the accrued benefit to actual retirement date and the accrued benefit at normal retirement actuarially increased to late retirement date. If a vested deferred participant applies after normal retirement date, retroactive annuity start date rules apply.

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## **Disability Benefit**

Eligibility: 10 years of vesting service; has become permanently and totally disabled.

Benefit: Accrued benefit at disability date. Amount may be reduced by any amount received from other Company funded sources, such as Workers' Compensation.

## **Vested Benefits upon Termination of Service**

Vesting: 5 years of vesting service.

Termination Benefit: Same as normal or early retirement, based on benefit earned as of termination.

## **Death Benefits for Participants in Active Service**

Eligibility: Five years of Vesting Service.

Benefit: 50% of accrued benefit under 50% joint and survivor option payable at later of date of death and earliest retirement date; reduced to early retirement date, if applicable.

## **Optional Forms of Retirement Income in Lieu of Normal Form**

Optional: 66-2/3%, 75%, 100% Joint and Survivor.

## **Plan Participants' Contributions**

Mandatory participant contributions were made post-tax prior to May 1, 1988. On and after that date, participant contributions were no longer required or permitted.

## **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## Summary of Principal Plan Provisions – Marley Cooling Tower

### Effective Date

The plan was originally effective November 1, 1973 (merged into the SPX Individual Account Retirement Plan on December 31, 2001).

### Coverage and Participation

Completion of one year of eligibility service.

No new entrants after January 1, 2002.

Service is measured based on complete calendar years and months of employment. Partial months of service are also recognized and are determined by dividing the number of days of service in the month by the number of days in that month.

### Vesting and Credited Service

Vesting Service is used to determine eligibility for benefits under the plan. Participants terminating prior to January 1, 2002 were 100% vested after 5 years of service.

Active participants on January 1, 2002 became fully vested in their accrued benefit on that date.

Credited service is used to determine benefit amounts under the plan.

Credited service is frozen as of January 1, 2002.

### Final Average Compensation/Salary

Average monthly compensation is the average of participant's highest earnings over any 60 consecutive month period within the last 120 months of employment.

### Normal Retirement Benefit

Normal Retirement Date: The latter of age 65 or the fifth anniversary of participation.

Benefit Formula: Accrued benefit at Normal Retirement Date.

Normal Form of Benefit: Life annuity if single; 50% Joint and Survivor if married.

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## Accrued Benefits

As of any applicable date, a participant's accrued benefit is the largest of A and B, below:

- A. Excess of 1% of final average compensation multiplied by Credited Service accrued to date of termination over .5% of the lesser of covered compensation, 3-year final average compensation limited by the wage bases, and 5-year final average compensation multiplied by Credited Service accrued to the date of termination (maximum 35 years);
- B. The greater of \$150 or the product of \$6.00 multiplied by Credited Service accrued to date of termination (maximum 25 years).

## Early Retirement Benefit

Eligibility: Age 55 and 10 years of vesting service.

Benefit: Accrued benefit at Normal Retirement Date actuarially reduced to Early Retirement Date.

## Late Retirement Benefit

The greater of the accrued benefit to actual retirement date and the accrued benefit at normal retirement actuarially increased to late retirement date. If a vested deferred participant applies after normal retirement date, retroactive annuity start date rules apply.

## Disability Benefit

Eligibility: 10 years of vesting service; has become permanently and totally disabled.

Benefit: Accrued benefit at NRD, or reduced benefit at ERD, if elected. Amount may be reduced by any amount received from other Company funded sources, such as Workers' Compensation.

## Vested Benefits upon Termination of Service

Vesting: 5 years of vesting service.

Termination Benefit: Same as normal or early retirement, based on the benefit earned at termination.

## Death Benefits for Participants in Active Service

Eligibility: Five years of vesting service.

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Benefit: 50% of accrued benefit under 50% joint and survivor option payable at later of date of death and earliest retirement date; reduced to Early Retirement Date, if applicable.

### **Optional Forms of Retirement Income in Lieu of Normal Form**

Optional: 66-2/3%, 75%, 100% Joint and Survivor.

### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## Summary of Principal Plan Provisions – CMB Plan

### Effective Date

The plan was originally effective December 1, 1960 (merged into the SPX Individual Account Retirement Plan on December 31, 2001).

### Coverage and Participation

January 1, following completion of one year of eligibility service.

No new entrants after January 1, 2002.

### Vesting Service

Vesting Service is used to determine eligibility for benefits under the plan. Participants terminating prior to January 1, 2002 were 100% vested after 7 years of service.

Active participants on January 1, 2002 became fully vested in their accrued benefit on that date.

### Credited Service

Credited service is used to determine benefit amounts under the plan.

Credited Service is frozen as of January 1, 2002.

### Final Average Compensation/Salary

Average monthly compensation is the average of participant's highest earnings over any 60 consecutive month period within the last 120 months of employment.

Compensation is the participant's total compensation received, including overtime, bonuses and commissions, less fringe benefits.

### Normal Retirement Benefit

Normal Retirement Date: First month coinciding with or next following 65<sup>th</sup> birthday.

Benefit Formula: Accrued benefit at normal retirement date.

Normal Form of Benefit: 10 year certain and single life annuity if single; 50% joint and survivor if married.

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## Late Retirement Benefit

The greater of the accrued benefit to actual retirement date and the accrued benefit at normal retirement actuarially increased to late retirement date. If a vested deferred participant applies after normal retirement date, retroactive annuity start date rules apply.

## Accrued Benefits

As of any applicable date, a participant's accrued benefit is the product of (A), (B) and (C), as follows:

- A. 2.0% of Final Average Earnings;
- B. Years of Service projected to NRD, not to exceed 20; and
- C. The ratio of Years of Service to date over Years of Service projected to NRD.

## Early Retirement Benefit

Eligibility: Age 55 and 10 Years of Service.

Benefit: Accrued benefit at Normal Retirement Date reduced to Early Retirement Date by multiplying the normal retirement benefit by one less the number of completed calendar months between benefit commencement date and normal retirement date times 0.005.

## Disability Benefit

Eligibility: Vested participant and has become permanently and totally disabled.

Benefit: Actuarial present value of accrued benefit. Amount may be reduced by any amount received from other Company funded sources, such as Workers' Compensation.

## Vested Benefits upon Termination of Service

Vesting: Five years of vesting service.

Termination Benefit: Same as normal or early retirement benefit, based on the benefit earned at termination.

## Death Benefits for Participants in Active Service

Eligibility: Vested Participant and married one year.

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Benefit: 50% of accrued benefit under 50% joint and survivor option payable at later of date of death and earliest retirement date; reduced to Early Retirement Date, if applicable.

### **Supplemental Death Benefit**

Eligibility: Participant entitled to a benefit.

Benefit: Supplemental death benefit is equal to the present value of the participant's accrued benefit at date of death minus the present value of the pre-retirement surviving spouse benefit paid, if any. The benefit is paid in addition to the pre-retirement surviving spouse benefit.

### **Optional Forms of Retirement Income in Lieu of Normal Form**

Lump Sum, Life with 10-Year Term Certain, Life only, or 50%. 75% or 100% Joint and Survivor.

Mandatory Lump Sum: If the lump sum present value of the participant's vested benefit is less than or equal to \$1,000, the benefit shall be paid as a single lump sum.

### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

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## Summary of Principal Plan Provisions – Core Non-Union

### Effective Date

The plan was originally effective July 1, 1984 (merged into the SPX Individual Account Retirement Plan on June 30, 2002).

### Coverage and Participation

All salaried employees of the Great Lakes/Eglinton Division.

No new entrants after January 1, 2002.

An employee is eligible to participate January 1 or July 1 following date of hire and completion of six months of employment.

### Credited Service

One year for each 1,000-hour calendar year of employment.

Credited service is frozen as of January 1, 2002.

### Vesting Service

One year for each 1,000-hour calendar year of employment.

All active participants are fully vested as of January 1, 2002.

### Final Average Compensation/Salary

Average monthly compensation is the average of the participant's highest earnings during the five consecutive plan years during the last ten years of employment.

Compensation is the basic rate of monthly pay in effect on the first day of the plan year.

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## Normal Retirement Benefit

Normal Retirement Date: First of month coinciding with or next following the attainment of age 65.

Benefit Formula: The product of (A) and (B) but not less than (C):

- A. 1.1% of Average Monthly Earnings.
- B. Years of Credited Service, not in excess of 30.
- C. The maximum of \$36 or the participant's accrued benefit as of August 31, 1995.

Normal Form of Benefit: 10 year certain and single life annuity if single; 50% joint and survivor annuity if married.

## Late Retirement Benefit

Greater of Accrued Benefit to actual retirement date or Normal Retirement Benefit actuarially increased to the late retirement date.

Accrued benefit to actual retirement date.

## Early Retirement Benefit

Eligibility: Retirement before Normal Retirement Date and on or after both attaining age 55 and completing fifteen years of vesting service.

Benefit: Monthly pension benefit determined as of early retirement date, reduced 5/9 of 1% for each of the first 60 months and 5/18 of 1% for each additional month by which his Early Retirement Date precedes his Normal Retirement Date.

## Vested Benefits upon Termination of Service

Vesting: Termination for reasons other than death or retirement after completing three years of vesting service.

Termination Benefit: Participants are 20% vested after completion of three years of vesting service; an additional 20% will vest with the completion of each of the next four years of vesting service.

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### **Death Benefits for Participants in Active Service**

Eligibility: Death while eligible for normal, early, postponed, or deferred vested retirement benefits, with a surviving spouse.

Benefit: 50% of the vested monthly pension benefit as of the date of death, reduced for the 50% joint and survivor election and reduced for payment as early as the participant's 55<sup>th</sup> birthday.

### **Supplemental Death Benefit**

Eligibility: Participant entitled to a benefit.

Benefit: Supplemental death benefit is equal to the present value of the participant's accrued benefit at date of death minus the present value of the pre-retirement surviving spouse benefit paid, if any. The benefit is paid in addition to the pre-retirement surviving spouse benefit.

### **Optional Forms of Retirement Income in Lieu of Normal Form**

10 year certain and continuous; single life annuity; 50%, 66-2/3%, 75%, and 100% joint and survivor; 50%, 66-2/3%, 100% joint and survivor annuity with a Social Security level income option.

Mandatory lump sum if present value of vested benefit is less than or equal to \$1,000. Voluntary lump sum available if present value of benefit is greater than \$1,000.

### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

Plan Name: SPX US Pension Plan  
EIN / PN: 38-1016240 / 003  
Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

## **SCHEDULE SB ATTACHMENTS**

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### **Summary of Principal Plan Provisions – Other Inactive Participants**

#### **Effective Date**

Former UDI: Merged in effective December 31, 2001.

Former GSX: Most plans merged in effective November 30, 1998.

Old SPX: Effective date as it appears on the separate documents for each participating unit.

#### **Provisions**

Based upon separate documents for each participating unit; no active participants.

#### **Changes in Plan Provisions since Last Actuarial Valuation**

None.

Plan Name: SPX US Pension Plan  
EIN / PN: 38-1016240 / 003  
Plan Sponsor: SPX Corporation  
Valuation Date: January 1, 2013

## Schedule I

| FD491                                                          |                                           |                         |               |         |   |
|----------------------------------------------------------------|-------------------------------------------|-------------------------|---------------|---------|---|
| SCHEDULE H (FORM 5500 - 4I-1)                                  |                                           | SPX CORPORATION         |               | PAGE    | 6 |
| SCHEDULE OF ASSETS HELD FOR INVESTMENT PURPOSES AT END OF YEAR |                                           | BASE CURRENCY: USD      |               | C 07103 |   |
|                                                                |                                           | AS OF DECEMBER 31, 2013 |               |         |   |
| IDENTITY OF ISSUE, BORROWER, LESSOR                            | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                    | CURRENT VALUE |         |   |
| 000360206 AAON INC USD0.004                                    | 159.000                                   | 2,136                   | 5,080         |         |   |
| 002567105 ABAXIS INC USD1                                      | 196.000                                   | 7,166                   | 7,844         |         |   |
| 002896207 ABERCROMBIE & FITCH CO USD0.01 A                     | 8,650.000                                 | 295,785                 | 284,672       |         |   |
| 003654100 ABIOMED INC USD0.01                                  | 312.000                                   | 6,480                   | 8,343         |         |   |
| 000957100 ABM INDUSTRIES INC USD0.01                           | 9,825.000                                 | 185,869                 | 280,897       |         |   |
| 003830106 ABRAXAS PETROLEUM CORP USD0.01                       | 576.000                                   | 1,316                   | 1,889         |         |   |
| 003881307 ACACIA RESEARCH CORP USD0.001 (ACACIA TEC            | 13,841.000                                | 291,418                 | 201,248       |         |   |
| 00404A109 ACADIA HEALTHCARE CO INC USD0.01                     | 243.000                                   | 6,072                   | 11,501        |         |   |
| 004225108 ACADIA PHARMACEUTICALS INC COMMON STOCK              | 400.000                                   | 7,266                   | 9,996         |         |   |
| 004239109 ACADIA REALTY TRUST SHS BEN INT USD0.001             | 62.000                                    | 1,603                   | 1,539         |         |   |
| <b>JPMorgan Investor Services</b>                              |                                           |                         |               |         |   |
| <b>J.P.Morgan</b>                                              |                                           |                         |               |         |   |

| IDENTITY OF ISSUE, BORROWER, LESSOR            | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE |
|------------------------------------------------|------------------------------------------|---------|---------------|
| 00430H102 ACCELERATE DIAGNOSTICS INC USD0.01   | 76.000                                   | 637     | 927           |
| 00438V103 ACCRETIVE HEALTH INC USD0.01         | 353.000                                  | 4,260   | 3,233         |
| 004397105 ACCURAY INC USD0.001                 | 12,458.000                               | 58,281  | 108,509       |
| 00439T206 ACCURIDE CORP USD0.01                | 300.000                                  | 1,523   | 1,119         |
| 00444T100 ACELIX PHARMACEUTICALS INC USD0.001  | 200.000                                  | 1,857   | 2,262         |
| 004446100 ACETO CORP USD0.01                   | 65.000                                   | 635     | 1,626         |
| 00448Q201 ACHILLION PHARMACEUTICALS INC NPV    | 635.000                                  | 5,395   | 2,108         |
| 004498101 ACI WORLDWIDE INC USD0.005           | 1,440.000                                | 43,389  | 93,600        |
| 00484M106 ACORCA THERAPEUTICS INC USD0.001     | 298.000                                  | 7,487   | 8,702         |
| 004848107 ACORN ENERGY INC USD0.01             | 172.000                                  | 1,770   | 700           |
| 00508E102 ACTUATE CORP USD0.001                | 316.000                                  | 2,225   | 2,436         |
| 00508Y102 ACUTY BRANDS INC USD0.01             | 307.000                                  | 20,593  | 33,561        |
| 005125109 ACXION CORP USD0.10                  | 100.000                                  | 2,270   | 3,698         |
| 00738A106 ADTRAN INC USD0.01                   | 6,297.000                                | 149,404 | 170,082       |
| 00770C101 ADVANCED EMISSIONS SOLUTIONS INC NPV | 37.000                                   | 884     | 2,007         |
| 007973100 ADVANCED ENERGY INDUSTRIES USD0.001  | 300.000                                  | 5,228   | 6,858         |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                         |  |  | SPX CORPORATION                          | PAGE<br>C 07103<br>8 |                   |
|-------------------------------------------------------------------------------------------------------------|-----------------------------------------|--|--|------------------------------------------|----------------------|-------------------|
|                                                                                                             |                                         |  |  | BASE CURRENCY: USD                       | AS OF                | DECEMBER 31, 2013 |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                 | CURRENT VALUE     |
| 007974108                                                                                                   | ADVENT SOFTWARE INC COM USD0.01         |  |  | 269.000                                  | 6,706                | 9,412             |
| 00762W107                                                                                                   | ADVISORY BOARD CO USD0.01               |  |  | 235.000                                  | 11,017               | 14,962            |
| 00767E102                                                                                                   | AECERION PHARMACEUTICALS INC USD0.001   |  |  | 171.000                                  | 3,021                | 12,134            |
| 00770F104                                                                                                   | AECION CORP USD0.01                     |  |  | 46.000                                   | 975                  | 1,007             |
| 001031103                                                                                                   | AEP INDUSTRIES INC USD0.01              |  |  | 10.000                                   | 548                  | 528               |
| 007865108                                                                                                   | AEROPOSTALE INC USD0.01                 |  |  | 501.000                                  | 7,092                | 4,554             |
| 00104Q107                                                                                                   | AFC ENTERPRISES INC USD0.01             |  |  | 167.000                                  | 4,416                | 6,430             |
| 00826T108                                                                                                   | AFFYMETRIX INC USD0.01                  |  |  | 10,000.000                               | 111,661              | 85,700            |
| 009128307                                                                                                   | AIR METHODS CORP USD0.06                |  |  | 253.000                                  | 10,209               | 14,757            |
| C0129K104                                                                                                   | AIRCASTLE NPV                           |  |  | 200.000                                  | 3,201                | 3,832             |
| 009728106                                                                                                   | AKORN NPV                               |  |  | 364.000                                  | 5,320                | 8,965             |
| 016255101                                                                                                   | ALIGN TECHNOLOGY INC USD0.0001          |  |  | 508.000                                  | 19,855               | 29,032            |
| 016259103                                                                                                   | ALIMERA SCIENCES INC USD0.01            |  |  | 150.000                                  | 740                  | 707               |
| 01748X102                                                                                                   | ALLEGiant TRAVEL USD0.001               |  |  | 657.000                                  | 36,736               | 69,274            |
| 018680306                                                                                                   | ALLIANCE FIBRE OPTICS PRODUCTS NPV      |  |  | 200.000                                  | 4,026                | 3,010             |
| 01988P108                                                                                                   | ALLSCRIPTS HEALTHCARE SOLUTIONS INC COM |  |  | USD0.01                                  | 37,678               | 61,840            |
|                                                                                                             |                                         |  |  | 4,000.000                                |                      |                   |
| JPMorgan Investor Services                                                                                  |                                         |  |  | J.P.Morgan                               |                      |                   |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>9 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                 | CURRENT VALUE     |
| 02043Q107                                                                                                   | A-NYLAM PHARMACEUTICALS INC USD0.01      |  | 420.000                                   | 8,977                | 27,019            |
| 02208R106                                                                                                   | A-TRA INDUSTRIAL MOTION CORP             |  | 3,904.000                                 | 51,706               | 133,595           |
| 00163U106                                                                                                   | AMAC PHARMACEUTICALS INC USD0.01         |  | 164.000                                   | 3,023                | 3,980             |
| 023139884                                                                                                   | AMBAC FINANCIAL GROUP INC USD0.01        |  | 100.000                                   | 2,385                | 2,456             |
| C037AX101                                                                                                   | AMBAZELLA INC USD0.00045                 |  | 84.000                                    | 1,343                | 2,850             |
| 02341W103                                                                                                   | AMCOL INTERNATIONAL CORP USD0.01         |  | 53.000                                    | 1,879                | 1,801             |
| 03062T105                                                                                                   | AMERICA'S CAR MART INC COM STK USD0.01   |  | 61.000                                    | 2,863                | 2,576             |
| 02376R102                                                                                                   | AMERICAN AIRLINES GROUP INC COMMON STOCK |  | 541.000                                   | 6,418                | 13,660            |
| 024061103                                                                                                   | AMERICAN AXLE & MANUFACTURING HLDCS USD0 |  | 300.000                                   | 5,594                | 6,135             |
| 025676206                                                                                                   | AMERICAN EQUITY INVT LIFE HLDC CO USD1   |  | 29.000                                    | 524                  | 765               |
| 02913V103                                                                                                   | AMERICAN PUBLIC EDUCATION INC USD0.01    |  | 97.000                                    | 3,718                | 4,217             |
| 02917T104                                                                                                   | AMERICAN REALTY CAPITAL PROPS INC USD0.0 |  | 200.000                                   | 3,055                | 2,572             |
| 029683109                                                                                                   | AMERICAN SOFTWARE INC USD0.10 A          |  | 118.000                                   | 946                  | 1,165             |
| 029899101                                                                                                   | AMERICAN STATES WATER CO USD2.5          |  | 4.000                                     | 87                   | 115               |
| 030371108                                                                                                   | AMERICAN VANGUARD CORP USD0.10           |  | 154.000                                   | 5,172                | 3,741             |
| 030506109                                                                                                   | AMERICAN WOODMARK CORP NFV               |  | 42.000                                    | 1,352                | 1,660             |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                     |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>10 |                   |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------|--|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                     |  |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                     |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 03152W109                                                                                                   | AMICUS THERAPEUTICS NPV             |  |  | 194.000                                   | 1,005                 | 456               |
| 031652100                                                                                                   | AMFOR TECHNOLOGY INC USD0.001       |  |  | 20,500.000                                | 127,640               | 125,665           |
| 001744101                                                                                                   | AMN HEALTHCARE SERVICES INC USD0.01 |  |  | 293.000                                   | 3,300                 | 4,307             |
| 03209T109                                                                                                   | AMPIO PHARMACEUTICALS INC USD0.01   |  |  | 177.000                                   | 548                   | 1,262             |
| 03232P405                                                                                                   | AMSURG CORP NPV                     |  |  | 85.000                                    | 2,378                 | 3,903             |
| 032359309                                                                                                   | AMTRUST FINANCIAL SERVICE USD0.01   |  |  | 167.000                                   | 5,180                 | 5,459             |
| 03236M101                                                                                                   | AMYRIS INC USD0.0001                |  |  | 197.000                                   | 558                   | 1,042             |
| 032420101                                                                                                   | ANACOR PHARMACEUTICALS INC USD0.001 |  |  | 178.000                                   | 1,331                 | 2,987             |
| 032515108                                                                                                   | ANADIGICS INC USD0.01               |  |  | 15,000.000                                | 46,413                | 27,600            |
| 032657207                                                                                                   | ANALOGIC CORP USD0.05               |  |  | 36.000                                    | 2,870                 | 3,188             |
| 034754101                                                                                                   | ANCIES LIST INC USD0.001            |  |  | 200.000                                   | 2,365                 | 3,030             |
| 035255108                                                                                                   | ANIKA THERAPEUTICS INC USD0.01      |  |  | 11.000                                    | 160                   | 420               |
| 035290105                                                                                                   | ANIXTER INTERNATIONAL INC USD1      |  |  | 759.000                                   | 52,590                | 68,189            |
| 035623107                                                                                                   | ANN INC USD0.0068                   |  |  | 331.000                                   | 12,682                | 12,101            |
| 03600T104                                                                                                   | ANNIES INC USD0.001                 |  |  | 93.000                                    | 4,077                 | 4,003             |
| 036642106                                                                                                   | ANTARES PHARMA INC USD0.01          |  |  | 805.000                                   | 3,229                 | 3,606             |

J.P.Morgan

JPMorgan Investor Services

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                         |  | SPX CORPORATION                          |  | PAGE<br>C 07103<br>11   |               |
|-------------------------------------------------------------------------------------------------------------|-----------------------------------------|--|------------------------------------------|--|-------------------------|---------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                         |  | BASE CURRENCY: USD                       |  | AS OF DECEMBER 31, 2013 |               |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                         |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA |  | COST                    | CURRENT VALUE |
| 037598109                                                                                                   | APOEE ENTERPRISES INC USD0.33 1/3       |  | 100.000                                  |  | 2,402                   | 3,591         |
| 03820C105                                                                                                   | APPLIED INDUSTRIAL TECHNOLOGIES INC NPV |  | 312.000                                  |  | 13,744                  | 15,316        |
| 03822W406                                                                                                   | APPLIED MICROCIRCUITS CORP USD0.01      |  | 500.000                                  |  | 4,408                   | 6,690         |
| 03834A103                                                                                                   | APPROACH RESOURCES INC USD0.01          |  | 102.000                                  |  | 3,318                   | 1,968         |
| 038465100                                                                                                   | ARABIAN AMERICAN DEVELOPMENT CO USD0.10 |  | 126.000                                  |  | 1,259                   | 1,581         |
| 039670104                                                                                                   | ARCTIC CAT INC USD0.01                  |  | 45.000                                   |  | 1,952                   | 2,564         |
| 040047102                                                                                                   | ARENA PHARMACEUTICALS INC USD0.0001     |  | 1,332.000                                |  | 11,531                  | 7,792         |
| C0464B107                                                                                                   | ARGO GROUP INTL HLDS USD0.01            |  | 38.000                                   |  | 1,633                   | 1,767         |
| 04269E107                                                                                                   | ARQUE INC USD0.01                       |  | 352.000                                  |  | 1,922                   | 757           |
| 04269X105                                                                                                   | ARRAY BIOPHARMA INC USD0.001            |  | 749.000                                  |  | 3,672                   | 3,752         |
| 04270V106                                                                                                   | ARRIS GROUP INC USD0.01                 |  | 697.000                                  |  | 10,105                  | 16,982        |
| 043136100                                                                                                   | ARTHROCARE CORPORATION USD0.001         |  | 128.000                                  |  | 4,045                   | 5,151         |
| 043176106                                                                                                   | ARUBA NETWORKS INC USD0.0001            |  | 759.000                                  |  | 16,785                  | 13,586        |
| 043436104                                                                                                   | ASBURY AUTOMOTIVE GROUP INC USD0.01     |  | 218.000                                  |  | 6,564                   | 11,715        |
| 045327103                                                                                                   | ASPEN TECHNOLOGY INC USD0.10            |  | 2,317.000                                |  | 34,903                  | 96,851        |
| 046224101                                                                                                   | ASTEC INDUSTRIES INC USD0.20            |  | 3,930.000                                |  | 137,304                 | 151,816       |
| JPMorgan Investor Services                                                                                  |                                         |  | J.P.Morgan                               |  |                         |               |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                        |  |                                           | SPX CORPORATION    | PAGE<br>C 07103<br>12 |                   |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------|--|-------------------------------------------|--------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                        |  |                                           | BASE CURRENCY: USD | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                        |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST               | CURRENT VALUE         |                   |
| 046265104                                                                                                   | ASTORIA FINANCIAL CORP USD0.01         |  | 15,280.000                                | 148,798            | 211,322               |                   |
| 046433108                                                                                                   | ASTRONICS CORP USD0.01                 |  | 128.000                                   | 2,686              | 6,528                 |                   |
| 046433207                                                                                                   | ASTRONICS CORP USD0.01 B               |  | 25.000                                    | 312                | 1,269                 |                   |
| 04685W103                                                                                                   | ATHENAHEALTH INC ORD USD0.01           |  | 258.000                                   | 23,142             | 34,701                |                   |
| 049079205                                                                                                   | ATLANTIC TELE NETWORK INC USD0.01      |  | 45.000                                    | 1,903              | 2,546                 |                   |
| 04963C209                                                                                                   | ATR-CURE INC USD0.001                  |  | 152.000                                   | 1,202              | 2,839                 |                   |
| 050095108                                                                                                   | ATWOOD OCEANICS INC USD1               |  |                                           | 93,911             | 177,522               |                   |
| 05334D107                                                                                                   | AUXILIUM PHARMACEUTICALS INC USD0.01   |  | 3,325.000                                 |                    |                       |                   |
|                                                                                                             |                                        |  | 311.000                                   | 7,237              | 6,450                 |                   |
| 05348P401                                                                                                   | AVANIR PHARMACEUTICALS NFV A           |  | 1,025.000                                 | 3,659              | 3,444                 |                   |
| N07831105                                                                                                   | AVG TECHNOLOGIES NV EUR0.01            |  | 199.000                                   | 3,335              | 3,425                 |                   |
| 05463D100                                                                                                   | AXIAL CORP USD0.01                     |  | 1,700.000                                 | 64,426             | 80,648                |                   |
| 002474104                                                                                                   | AZZ INC USD1                           |  | 191.000                                   | 6,654              | 9,332                 |                   |
| 05508R106                                                                                                   | B & C FOODS HLDS COM CLASS 'A' USD0.01 |  | 332.000                                   | 10,258             | 11,258                |                   |
| 056525108                                                                                                   | BADGER METER INC USD1                  |  | 99.000                                    | 3,717              | 5,396                 |                   |
| 057665200                                                                                                   | BALCHEM CORP USD0.0666                 |  | 198.000                                   | 7,379              | 11,623                |                   |
| 063904106                                                                                                   | BANK OF THE OZARKS USD0.01             |  | 187.000                                   | 6,406              | 10,582                |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION<br>BASE CURRENCY: USD    |        | PAGE<br>C 07103<br>AS OF DECEMBER 31, 2013 |  | 13 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|------------------------------------------|--------|--------------------------------------------|--|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST   | CURRENT VALUE                              |  |    |
| 068463108                                                                                                   | BARRETT BUSINESS SERVICES USD0.01        |  |  | 92.000                                   | 2,554  | 8,532                                      |  |    |
| 068798107                                                                                                   | BARRY(R.G.)CORP USD1                     |  |  | 10.000                                   | 148    | 193                                        |  |    |
| 073271108                                                                                                   | BAZAARVOICE INC USD0.0001                |  |  | 159.000                                  | 1,810  | 1,259                                      |  |    |
| 073685109                                                                                                   | BEACON ROOFING SUPPLY INC USD0.01 A      |  |  | 377.000                                  | 10,944 | 15,186                                     |  |    |
| 07556Q881                                                                                                   | BEAZER HOMES USA INC USD0.01             |  |  | 100.000                                  | 1,754  | 2,442                                      |  |    |
| 077454106                                                                                                   | BELDEN INC COM STK USD0.01               |  |  | 303.000                                  | 11,966 | 21,346                                     |  |    |
| 08579W103                                                                                                   | BERRY PLASTICS GROUP INC USD0.01         |  |  | 352.000                                  | 7,298  | 8,374                                      |  |    |
| 05541T101                                                                                                   | BGC PARTNERS INC CLASS'A'COM STK USD0.01 |  |  | 883.000                                  | 4,567  | 5,351                                      |  |    |
| 08915P101                                                                                                   | BIC 5 SPORTING GOODS CORP USD0.01        |  |  | 100.000                                  | 2,197  | 1,982                                      |  |    |
| 06846N104                                                                                                   | BILL BARRETT CORP COM NPV                |  |  | 100.000                                  | 2,024  | 2,678                                      |  |    |
| 09057C602                                                                                                   | BIO-REFERENCE LABORATORIES INC USD0.01   |  |  | 177.000                                  | 5,026  | 4,521                                      |  |    |
| 09060J106                                                                                                   | BIODELIVERY SCIENCES INTERNATIONAL USD0. |  |  | 161.000                                  | 878    | 948                                        |  |    |
| 090911108                                                                                                   | BIOLASE INC USD0.001                     |  |  | 810.000                                  | 2,876  | 2,292                                      |  |    |
| 09069N108                                                                                                   | BIOSCRIP INC COM STK USD0.0001           |  |  | 9,116.000                                | 55,514 | 67,458                                     |  |    |
| 09066L105                                                                                                   | BIOTIME INC NPV                          |  |  | 204.000                                  | 859    | 734                                        |  |    |
| 09180C106                                                                                                   | BJS RESTAURANTS INC COM                  |  |  | 174.000                                  | 7,640  | 5,404                                      |  |    |
| JPMorgan Investor Services                                                                                  |                                          |  |  | J.P.Morgan                               |        |                                            |  |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                        |  | SPX CORPORATION<br>BASE CURRENCY: USD     |        | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>14 |  |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------|--|-------------------------------------------|--------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                        |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST   | CURRENT VALUE           |  |                       |  |
| 09227Q100                                                                                                   | BLACKBAUD INC USD0.001                 |  | 291.000                                   | 7,200  | 10,956                  |  |                       |  |
| 09238E104                                                                                                   | BLACKHAWK NETWORK HLDGS INC USD0.001 A |  | 100.000                                   | 2,322  | 2,526                   |  |                       |  |
| 094235108                                                                                                   | BLOOMIN BRANDS INC USD0.01             |  | 355.000                                   | 8,108  | 8,524                   |  |                       |  |
| 095180105                                                                                                   | BLOUNT INTERNATIONAL INC USD1          |  | 346.000                                   | 4,771  | 5,007                   |  |                       |  |
| 095229100                                                                                                   | BLUCORA INC USD0.0001                  |  | 162.000                                   | 2,970  | 4,724                   |  |                       |  |
| 09578R103                                                                                                   | BLUE NILE INC USD0.001                 |  | 38.000                                    | 1,531  | 1,789                   |  |                       |  |
| 09624H109                                                                                                   | BLUELINX HLDGS INC COM USD0.01         |  | 175.000                                   | 359    | 341                     |  |                       |  |
| 09643P207                                                                                                   | BYTH INC USD0.02                       |  | 74.000                                    | 3,054  | 805                     |  |                       |  |
| 096761101                                                                                                   | BOB EVANS FARMS INC USD0.01            |  | 4.000                                     | 163    | 202                     |  |                       |  |
| 05566U108                                                                                                   | BOFI HLDC INC USD0.01                  |  | 116.000                                   | 5,202  | 9,098                   |  |                       |  |
| 09739D100                                                                                                   | BOISE CASCADE CO DEL USD0.01           |  | 38.000                                    | 1,098  | 1,120                   |  |                       |  |
| 097793103                                                                                                   | BONANZA CREEK ENERGY INC USD0.001      |  | 240.000                                   | 8,368  | 10,433                  |  |                       |  |
| 09776J101                                                                                                   | BONTON STORES USD0.01                  |  | 100.000                                   | 1,807  | 1,628                   |  |                       |  |
| 100557107                                                                                                   | BOSTON BEER CO INC USD0.01 A           |  | 112.000                                   | 25,265 | 27,080                  |  |                       |  |
| 101388106                                                                                                   | BOTTOMLINE TECHNOLOGIES USD0.001       |  | 214.000                                   | 5,348  | 7,738                   |  |                       |  |
| 101405108                                                                                                   | BOULDER BRANDS INC USD0.01             |  | 400.000                                   | 4,826  | 6,344                   |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                        |  |                                           |        |                         |  |                       |  |
| J.P.Morgan                                                                                                  |                                        |  |                                           |        |                         |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |         | SPX CORPORATION<br>BASE CURRENCY: USD |            | AS OF | PAGE<br>C 07103 | 15 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|---------|---------------------------------------|------------|-------|-----------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE                         |            |       |                 |    |
| 103304101 BOYD GAMING CORP USD0.01                                                                          | 507.000                                  | 5,673   | 5,709                                 |            |       |                 |    |
| 105673109 BRAVO BRIO RESTAURANT GROUP INC NFV                                                               | 115.000                                  | 1,803   | 1,871                                 |            |       |                 |    |
| 109043109 BRIGGS & STRATTON CORP USD0.01                                                                    | 1,150.000                                | 22,356  | 25,024                                |            |       |                 |    |
| 109194100 BRIGHT HORIZONS FAMILY SOLUTIONS USD0.00                                                          | 88.000                                   | 3,003   | 3,233                                 |            |       |                 |    |
| 109211101 BRIGHTCOVE INC USD0.001                                                                           | 148.000                                  | 1,404   | 2,093                                 |            |       |                 |    |
| 109696104 BRINK'S COMPANY BRINKS GROUP COM USD1                                                             | 188.000                                  | 4,697   | 6,418                                 |            |       |                 |    |
| 110394103 BRISTOW GROUP INC USD0.01                                                                         | 2,700.000                                | 129,453 | 202,662                               |            |       |                 |    |
| 111333409 BROADSOFT INC USD0.01                                                                             | 1,443.000                                | 38,212  | 39,452                                |            |       |                 |    |
| 113731107 BROOKLINE BANCORP                                                                                 | 25,793.000                               | 235,125 | 246,839                               |            |       |                 |    |
| 114340102 BROOKS AUTOMATION INC                                                                             | 21,884.000                               | 199,369 | 229,563                               |            |       |                 |    |
| 115736100 BROWN SHOE CO INC COM STK USD0.01                                                                 | 3,200.000                                | 39,849  | 90,048                                |            |       |                 |    |
| 117043109 BRUNSWICK CORP USD0.75                                                                            | 542.000                                  | 13,646  | 24,965                                |            |       |                 |    |
| 118440106 BUCKLE USD0.01                                                                                    | 229.000                                  | 10,775  | 12,036                                |            |       |                 |    |
| 119848109 BUFFALO WILD WINGS INC NFV                                                                        | 107.000                                  | 8,899   | 15,750                                |            |       |                 |    |
| 120081107 BUILDERS FIRSTSOURCE INC USD0.01                                                                  | 285.000                                  | 1,477   | 2,035                                 |            |       |                 |    |
| 124673304 C&J ENERGY SERVICES INC USD0.01                                                                   | 2,275.000                                | 46,996  | 52,553                                |            |       |                 |    |
| JPMorgan Investor Services                                                                                  |                                          |         |                                       | J.P.Morgan |       |                 |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  |  | SPX CORPORATION<br>BASE CURRENCY: USD     |  | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103 |  | 16 |            |
|-------------------------------------------------------------------------------------------------------------|--|--|--|-------------------------------------------|--|-------------------------|--|-----------------|--|----|------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR |  | COST                    |  | CURRENT VALUE   |  |    |            |
| 126ESC904 CABLE SATISFACTION SHS                                                                            |  |  |  | 31,377.000                                |  | 0                       |  | 0               |  |    |            |
| 127055101 CABOT CORP USD1                                                                                   |  |  |  | 5,949.000                                 |  | 214,250                 |  | 305,779         |  |    |            |
| 12709P103 CABOT MICROELECTRONICS CORP USD0.001                                                              |  |  |  | 147.000                                   |  | 5,270                   |  | 6,718           |  |    |            |
| 127190304 CACI INTL INC CLASS A COM                                                                         |  |  |  | 950.000                                   |  | 56,851                  |  | 69,559          |  |    |            |
| 12738T100 CADENCE PHARMACEUTICALS INC USD0.0001                                                             |  |  |  | 451.000                                   |  | 1,860                   |  | 4,082           |  |    |            |
| 127686103 CAESARS ENTERTAINMENT CORP COMMON STOCK                                                           |  |  |  | 197.000                                   |  | 1,489                   |  | 4,243           |  |    |            |
| 12477X106 CAI INTL INC USD0.0001                                                                            |  |  |  | 64.000                                    |  | 1,396                   |  | 1,508           |  |    |            |
| 128030202 CAL MAINE FOODS INC USD0.01                                                                       |  |  |  | 51.000                                    |  | 2,129                   |  | 3,072           |  |    |            |
| 128126109 CALAMP CORP COM                                                                                   |  |  |  | 254.000                                   |  | 2,058                   |  | 7,104           |  |    |            |
| 128246105 CALAVO GROWERS INC USD0.001                                                                       |  |  |  | 126.000                                   |  | 3,019                   |  | 3,813           |  |    |            |
| 129603106 CALCON CARBON CORP USD0.01                                                                        |  |  |  | 413.000                                   |  | 6,108                   |  | 8,495           |  |    |            |
| 130788102 CALIFORNIA WATER SERVICE GROUP NPV                                                                |  |  |  | 6,890.000                                 |  | 140,521                 |  | 158,952         |  |    |            |
| 13100M509 CALIX NETWORKS INC USD0.01                                                                        |  |  |  | 270.000                                   |  | 2,326                   |  | 2,603           |  |    |            |
| 131193104 CALLAWAY GOLF CO USD0.01                                                                          |  |  |  | 1,500.000                                 |  | 8,347                   |  | 12,645          |  |    |            |
| 13123E500 CALLIDJS SOFTWARE INC COM USD0.001                                                                |  |  |  | 213.000                                   |  | 1,086                   |  | 2,924           |  |    |            |
| 132011107 CAMBRX CORP USD0.10                                                                               |  |  |  | 104.000                                   |  | 1,301                   |  | 1,854           |  |    |            |
| JPMorgan Investor Services                                                                                  |  |  |  |                                           |  |                         |  |                 |  |    | J.P.Morgan |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                         |  |  | SPX CORPORATION                          | PAGE<br>C 07103 |                   | 17 |
|-------------------------------------------------------------------------------------------------------------|-----------------------------------------|--|--|------------------------------------------|-----------------|-------------------|----|
|                                                                                                             |                                         |  |  | BASE CURRENCY: USD                       | AS OF           | DECEMBER 31, 2013 |    |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST            | CURRENT VALUE     |    |
| 138098108                                                                                                   | CANTEL MEDICAL CORP CLASS'B'CNV USD0.10 |  |  | 270.000                                  | 4,895           | 9,156             |    |
| 139594105                                                                                                   | CAPELLA EDUCATION CO USD1               |  |  | 55.000                                   | 1,943           | 3,654             |    |
| 140475104                                                                                                   | CAP-TAL SENIOR LIVING CORP USD0.01      |  |  | 186.000                                  | 2,775           | 4,462             |    |
| 14057J101                                                                                                   | CAP-TOL FEDERAL FINANCIAL INC USD0.01   |  |  | 21,261.000                               | 245,788         | 257,471           |    |
| 14067E506                                                                                                   | CAPSTEAD MTGE.CORP USD0.01              |  |  | 14,590.000                               | 178,443         | 176,247           |    |
| 14067D102                                                                                                   | CAPSTONE TURBINE CORP USD0.001          |  |  | 2,068.000                                | 2,192           | 2,668             |    |
| 140781105                                                                                                   | CARBO CERAMICS USD0.01                  |  |  | 25.000                                   | 1,713           | 2,913             |    |
| 141337105                                                                                                   | CARBONITE INC USD0.01                   |  |  | 97.000                                   | 697             | 1,148             |    |
| 141619106                                                                                                   | CARDIOVASCULAR SYSTEMS INC NPV          |  |  | 106.000                                  | 1,189           | 3,635             |    |
| 14161H108                                                                                                   | CARDTRONICS INC COMMON STOCK USD 0.0001 |  |  | 1,808.000                                | 29,672          | 78,558            |    |
| 143436400                                                                                                   | CARMIKE CINEMAS INC USD0.03             |  |  | 48.000                                   | 582             | 1,336             |    |
| 143905107                                                                                                   | CARRIAGE SERVICES INC USD0.01           |  |  | 100.000                                  | 1,697           | 1,953             |    |
| 144577103                                                                                                   | CARRIZO OIL & GAS INC USD0.01           |  |  | 239.000                                  | 6,827           | 10,700            |    |
| 147448104                                                                                                   | CASELLA WASTE SYSTEMS USD0.01 A         |  |  | 242.000                                  | 1,054           | 1,404             |    |
| 147528103                                                                                                   | CASEY'S GENERAL STORES INC NPV          |  |  | 300.000                                  | 17,639          | 21,075            |    |
| 14808P109                                                                                                   | CASS INFORMATION SYSTEMS USD0.5         |  |  | 79.000                                   | 2,968           | 5,321             |    |
| JPMorgan Investor Services                                                                                  |                                         |  |  | J.P.Morgan                               |                 |                   |    |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>18 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 149205106                                                                                                   | CATO CORP USD0.03 1/3 A                  |  | 54.000                                    | 1,661                 | 1,717             |
| 149568107                                                                                                   | CAVCO INDUSTRIES INC USD0.01             |  | 64.000                                    | 3,002                 | 4,397             |
| 149640108                                                                                                   | CAVUM INC USD0.001                       |  | 355.000                                   | 12,483                | 12,251            |
| 125137109                                                                                                   | CEC ENTERTAINMENT INC COMMON STOCK EUR 0 |  | 102.000                                   | 3,174                 | 4,517             |
| 125141101                                                                                                   | CECO ENVIRONMENTAL CORP USD0.01          |  | 66.000                                    | 645                   | 1,067             |
| 150934883                                                                                                   | CELL THERAPEUTICS INC NPV                |  | 800.000                                   | 852                   | 1,536             |
| 151173103                                                                                                   | CELLEX THERAPEUTICS INC USD0.001         |  | 496.000                                   | 3,416                 | 12,008            |
| 15130J109                                                                                                   | CEMPRA INC USD0.001                      |  | 91.000                                    | 795                   | 1,127             |
| 151353101                                                                                                   | CENTENE CORP(DEL) USD0.001               |  | 401.000                                   | 15,192                | 23,639            |
| 153527205                                                                                                   | CENTRAL GARDEN & PET CO NON VTG USD0.01  |  | 53.000                                    | 622                   | 358               |
| 156431108                                                                                                   | CENTURY ALUMINIUM USD0.01                |  | 7,175.000                                 | 296,861               | 75,051            |
| 15670S105                                                                                                   | CENVEO INC COM USD0.01                   |  | 200.000                                   | 491                   | 688               |
| 15670R107                                                                                                   | CEPHEID NPV                              |  | 451.000                                   | 17,584                | 21,071            |
| 157085101                                                                                                   | CERUS CORP USD0.001                      |  | 471.000                                   | 1,745                 | 3,038             |
| 159179100                                                                                                   | CHANNELADVISOR CORP USD0.001             |  | 100.000                                   | 3,392                 | 4,171             |
| 16115Q308                                                                                                   | CHART INDUSTRIES INC NPV                 |  | 2,054.000                                 | 64,078                | 196,445           |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>19 |               |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|-------------------------------------------|-----------------------|---------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE |
| BASE CURRENCY: USD                                                                                          |                                          |  |  |                                           |                       |               |
| 163072101                                                                                                   | CHEESECAKE FACTORY USD0.01               |  |  | 372.000                                   | 13,047                | 17,956        |
| 163086101                                                                                                   | CHEF'S WAREHOUSE INC USD0.01             |  |  | 90.000                                    | 1,629                 | 2,624         |
| 163428105                                                                                                   | CHELSEA THERAPEUTICS INTL LTD USD0.0001  |  |  | 500.000                                   | 1,158                 | 2,215         |
| 16359R103                                                                                                   | CHEMED CORP CAP USD1                     |  |  | 188.000                                   | 13,124                | 14,405        |
| 163731102                                                                                                   | CHEMICAL FINANCIAL CORP USD1             |  |  | 4,950.000                                 | 133,398               | 156,767       |
| 16383L106                                                                                                   | CHEMOCENTRYX INC USD0.001                |  |  | 143.000                                   | 1,952                 | 828           |
| 163893209                                                                                                   | CHEMTURA CORP USD0.01                    |  |  | 690.000                                   | 13,015                | 19,265        |
| 168615102                                                                                                   | CHICOS FAS INC USD0.01                   |  |  | 14,280.000                                | 238,169               | 269,035       |
| 168905107                                                                                                   | CHILDRENS PLACE RETAIL STORE INC USD0.10 |  |  | 606.000                                   | 29,561                | 34,524        |
| 16934W106                                                                                                   | CHIMERIX INC USD0.001                    |  |  | 100.000                                   | 2,426                 | 1,511         |
| 171046105                                                                                                   | CHRISTOPHER & BARKS CORP USD0.01         |  |  | 200.000                                   | 1,351                 | 1,708         |
| 171484108                                                                                                   | CHURCHILL DOWNS INC NPV                  |  |  | 56.000                                    | 4,080                 | 5,020         |
| 171604101                                                                                                   | CHUYS HLDCS INC USD0.01                  |  |  | 130.000                                   | 4,443                 | 4,683         |
| 171779309                                                                                                   | CIENA CORP USD0.01.                      |  |  | 540.000                                   | 7,796                 | 12,922        |
| 171871106                                                                                                   | CINCINNATI BELL NC USD0.01               |  |  | 471.000                                   | 2,422                 | 1,677         |
| 172755100                                                                                                   | CIRRUS LOGIC INC NPV                     |  |  | 157.000                                   | 6,782                 | 3,208         |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |          | SPX CORPORATION<br>BASE CURRENCY: USD     |  | AS OF   | FACE<br>C 07103<br>DECEMBER 31, 2013 | 20 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|----------|-------------------------------------------|--|---------|--------------------------------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |          | DESCRIPTION OF INVESTMENT<br>SHARES / PA3 |  | COST    | CURRENT VALUE                        |    |
| 179895107                                                                                                   | CLARCOR INC USD1                         |          | 375.000                                   |  | 18,560  | 24,131                               |    |
| 184499101                                                                                                   | CLEAN ENERGY FUELS CORPORATION USD0.0001 |          | 491.000                                   |  | 6,749   | 6,324                                |    |
| 18538R103                                                                                                   | CLEARWATER PAPER CORPORATION USD0.0001   |          | 156.000                                   |  | 6,409   | 8,190                                |    |
| 189464100                                                                                                   | CLOVIS ONCOLOGY INC USD0.001             |          | 75.000                                    |  | 1,602   | 4,520                                |    |
| 191098102                                                                                                   | COCA-COLA BOTTLING CO CONSOLIDATED USD1  |          | 23.000                                    |  | 1,560   | 1,683                                |    |
| 192108504                                                                                                   | COEUR MINING INC                         |          | 301.000                                   |  | 7,808   | 3,266                                |    |
| 19239V302                                                                                                   | COCENT COMMUNICATIONS GROUP INC NEW COM  | USD0.001 | 282.000                                   |  | 5,962   | 11,396                               |    |
| 192422103                                                                                                   | COGNEX CORP USD0.002                     |          | 1,134.000                                 |  | 28,652  | 43,296                               |    |
| 19247A100                                                                                                   | COHEN & STEERS INC USD0.01               |          | 106.000                                   |  | 3,377   | 4,246                                |    |
| 192479103                                                                                                   | COHERENT INC USD0.01                     |          | 134.000                                   |  | 7,211   | 9,968                                |    |
| 192576106                                                                                                   | COHU INC USD1                            |          | 10,889.000                                |  | 140,043 | 114,335                              |    |
| 193459302                                                                                                   | COLEMAN CABLE INC COMMON STOCK EUR 0.001 |          | 29.000                                    |  | 277     | 760                                  |    |
| 199908104                                                                                                   | COMFORT SYSTEMS USA USD0.01              |          | 90.000                                    |  | 1,040   | 1,745                                |    |
| 201723103                                                                                                   | COMMERCIAL METALS CO USD5                |          | 4,950.000                                 |  | 84,539  | 100,634                              |    |
| 202608105                                                                                                   | COMMERCIAL VEHICLE GROUP INC USD0.01     |          | 143.000                                   |  | 1,239   | 1,040                                |    |
| 204166102                                                                                                   | COMMVAULT SYSTEMS INC USD0.01            |          | 321.000                                   |  | 18,447  | 24,036                               |    |
| JPMorgan Investor Services                                                                                  |                                          |          | J.P.Morgan                                |  |         |                                      |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF<br>DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>21 |  |
|-------------------------------------------------------------------------------------------------------------|--|--|--|------------------------------------------|---------|----------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE              |  |                       |  |
| 205306103 COMPUTER PROGRAMS & SYSTEMS INC USD0.001                                                          |  |  |  | 104.000                                  | 5,669   | 6,428                      |  |                       |  |
| 205477102 COMPUTER TASK GROUP INC USD0.01                                                                   |  |  |  | 105.000                                  | 1,916   | 1,985                      |  |                       |  |
| 20564W105 COMSCORE INC COM NPV                                                                              |  |  |  | 194.000                                  | 2,922   | 5,550                      |  |                       |  |
| 205768203 COMSTOCK RESOURCES INC USD0.50                                                                    |  |  |  | 8,325.000                                | 134,141 | 152,264                    |  |                       |  |
| 20585P105 COMVERSE INC USD0.01                                                                              |  |  |  | 103.500                                  | 2,983   | 4,016                      |  |                       |  |
| 208242107 CONNS INC USD0.01                                                                                 |  |  |  | 186.000                                  | 9,380   | 14,655                     |  |                       |  |
| 209034107 CONSOLIDATED COMU COM NPV                                                                         |  |  |  | 308.000                                  | 5,290   | 6,046                      |  |                       |  |
| 210313102 CONSTANT CONTACT INC USD0.01                                                                      |  |  |  | 229.000                                  | 4,468   | 7,115                      |  |                       |  |
| 210502100 CONSUMER PORTFOLIO SERVICES NPV                                                                   |  |  |  | 58.000                                   | 373     | 545                        |  |                       |  |
| 21075N204 CONTANGO OIL & GAS CO USD0.04                                                                     |  |  |  | 31.000                                   | 1,652   | 1,465                      |  |                       |  |
| 216831107 COOPER TIRE & RUBBER CO USD1                                                                      |  |  |  | 90.000                                   | 2,019   | 2,164                      |  |                       |  |
| 218352102 CORCEPT THERAPEUTICS INC USD0.001                                                                 |  |  |  | 398.000                                  | 1,035   | 1,282                      |  |                       |  |
| 21870Q105 CORESITE REALTY CORP USD0.01                                                                      |  |  |  | 180.000                                  | 5,271   | 5,794                      |  |                       |  |
| 21925Y103 CORNERSTONE ONDEMAND INC USD0.0001                                                                |  |  |  | 321.000                                  | 10,042  | 17,122                     |  |                       |  |
| 21976U109 CORONADO BIOSCIENCES INC COM USD0.001                                                             |  |  |  | 184.000                                  | 1,179   | 484                        |  |                       |  |
| 21988R102 CORPORATE EXECUTIVE BOARD CO USD0.01                                                              |  |  |  | 269.000                                  | 13,531  | 20,829                     |  |                       |  |
| JPMorgan Investor Services                                                                                  |  |  |  | J.P.Morgan                               |         |                            |  |                       |  |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                      |  |                                           | SPX CORPORATION    | PAGE<br>C 07103<br>22 |                   |
|-------------------------------------------------------------------------------------------------------------|--------------------------------------|--|-------------------------------------------|--------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                      |  |                                           | BASE CURRENCY: USD | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                      |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST               | CURRENT VALUE         |                   |
| 221006109                                                                                                   | CORVEL CORP USD0.0001                |  | 122.000                                   | 2,737              | 5,697                 |                   |
| 22149T102                                                                                                   | COSTA INC COMMON STOCK USD 1         |  | 36.000                                    | 371                | 782                   |                   |
| 22160N109                                                                                                   | COSTAR GROUP INC USD0.01             |  | 238.000                                   | 19,792             | 43,930                |                   |
| 22410J106                                                                                                   | CRACKER BARREL OLD COUNTRY STORE INC |  | 124.000                                   | 7,923              | 13,649                |                   |
| 224122101                                                                                                   | CRAFT BREWERS ALLIANCE INC USD0.005  |  | 14.000                                    | 112                | 230                   |                   |
| 224633107                                                                                                   | CRAWFORD & CO USD1.5                 |  | 59.000                                    | 437                | 545                   |                   |
| 225223304                                                                                                   | CRAY INC USD0.01                     |  | 179.000                                   | 2,266              | 4,915                 |                   |
| 225310101                                                                                                   | CREDIT ACCEPTANCE CORP NPV           |  | 100.000                                   | 11,031             | 12,999                |                   |
| 227046109                                                                                                   | CROCS INC USD0.01                    |  | 561.000                                   | 9,697              | 8,931                 |                   |
| 22765Y104                                                                                                   | CROSSTEX ENERGY INC COM STK USD0.01  |  | 336.000                                   | 4,788              | 12,150                |                   |
| 228411104                                                                                                   | CROWN MEDIA HOLDINGS USD0.01 A       |  | 22.000                                    | 37                 | 78                    |                   |
| 126349109                                                                                                   | CSC SYSTEMS INTL INC USD0.01         |  | 133.000                                   | 2,987              | 3,910                 |                   |
| 230215105                                                                                                   | CULP INC USD0.05                     |  | 100.000                                   | 1,741              | 2,045                 |                   |
| 231082108                                                                                                   | CUMULUS MEDIA INC USD0.01 A          |  | 400.000                                   | 1,362              | 3,092                 |                   |
| 231269101                                                                                                   | CURTIS INC USD0.01                   |  | 408.000                                   | 1,718              | 1,151                 |                   |
| 126600105                                                                                                   | CVB FINANCIAL NPV                    |  | 8,817.000                                 | 95,704             | 150,506               |                   |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                     |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>23 |                   |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------|--|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                     |  |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                     |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 23251P102                                                                                                   | CYBERONICS INC USD0.01              |  |  | 151.000                                   | 7,662                 | 9,892             |
| 232577205                                                                                                   | CYNOSURE INC USD0.001               |  |  | 81.000                                    | 2,133                 | 2,161             |
| 232806109                                                                                                   | CYPRESS SEMICONDUCTOR CORP USD0.01  |  |  | 1,000.000                                 | 10,525                | 10,500            |
| 23282W605                                                                                                   | CYTOKINETICS INC USD0.001           |  |  | 100.000                                   | 1,159                 | 650               |
| 23283K105                                                                                                   | CYTORI THERAPEUTICS INC COM STK     |  |  | 374.000                                   | 1,393                 | 961               |
| 234264109                                                                                                   | DAKTIONIC INC NPV                   |  |  | 31.000                                    | 296                   | 486               |
| 235825205                                                                                                   | DANA HOLDING CORP USD0.01           |  |  | 101.000                                   | 1,398                 | 1,982             |
| 237266101                                                                                                   | DARLING INTL INC COM USD0.01        |  |  | 181.000                                   | 3,183                 | 3,779             |
| 237934104                                                                                                   | DATALINK CORP USD0.001              |  |  | 102.000                                   | 945                   | 1,112             |
| 242309102                                                                                                   | DEALERTRACK TECHNOLOGIES INC        |  |  | 238.000                                   | 6,626                 | 11,443            |
| 242370203                                                                                                   | DEAN FOODS CO COMMON STOCK USD 0.01 |  |  | 9,480.000                                 | 167,275               | 162,961           |
| 246647101                                                                                                   | DELEX JS HOLDINGS INC USD0.01       |  |  | 9,515.000                                 | 225,327               | 327,411           |
| 247850100                                                                                                   | DELTAIC TIMBER CORP NPV             |  |  | 100.000                                   | 6,562                 | 6,794             |
| 248019101                                                                                                   | DELUXE CORP USD1                    |  |  | 1,582.000                                 | 25,126                | 82,565            |
| 24802N109                                                                                                   | DEMAND MEDIA INC USD0.0001          |  |  | 8,800.000                                 | 74,594                | 50,776            |
| 24802Y105                                                                                                   | DEMANDWARE INC USD0.01              |  |  | 63.000                                    | 2,441                 | 4,040             |

J.P.Morgan

JPMorgan Investor Services

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>24 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 24823Q107                                                                                                   | DENDREON CORP COM USD0.001               |  | 1,059.000                                 | 5,159                 | 3,166             |
| 24869P104                                                                                                   | DENNY'S CORP COM USD0.01                 |  | 457.000                                   | 2,325                 | 3,286             |
| 249908104                                                                                                   | DEPOMED INC NPV                          |  | 430.000                                   | 2,491                 | 4,549             |
| 25065D100                                                                                                   | DESTINATION MATERNITY CORP               |  | 55.000                                    | 1,212                 | 1,643             |
| 252131107                                                                                                   | DEXCOM INC USD0.001                      |  | 477.000                                   | 6,561                 | 16,891            |
| 23324T107                                                                                                   | DFC GLOBAL CORP USD0.001                 |  | 4,200.000                                 | 44,885                | 48,090            |
| 25278X109                                                                                                   | DIAMONDBACK ENERGY INC USD0.01           |  | 100.000                                   | 2,760                 | 5,286             |
| 253017107                                                                                                   | DICE HLDGS INC COM STK NPV               |  | 248.000                                   | 2,133                 | 1,798             |
| 253651103                                                                                                   | DIEBOLD INC USD1.25                      |  | 8,530.000                                 | 250,127               | 281,575           |
| 253813101                                                                                                   | DICOMARC CORP (NEW) USD0.001             |  | 87.000                                    | 1,957                 | 1,676             |
| 253922108                                                                                                   | DIME COMMUNITY BANKSHARES INC USD0.01    |  | 3,920.000                                 | 64,050                | 66,326            |
| 254423106                                                                                                   | DINEEQUITY INC                           |  | 719.000                                   | 35,219                | 60,072            |
| 254543101                                                                                                   | DIODES INC USD0.66 2/3                   |  | 200.000                                   | 5,197                 | 4,712             |
| 25532M105                                                                                                   | DIVERSIFIED RESTAURANT HOLDINGS INC USD0 |  | 85.000                                    | 576                   | 405               |
| 25659P402                                                                                                   | DOLAN CO(THE) USD0.001                   |  | 3,200.000                                 | 31,370                | 2,240             |
| 257867101                                                                                                   | DONNELLEY(R.R.) & SONS CO USD1.25        |  | 3,200.000                                 | 42,900                | 64,896            |
| JPMorgan Investor Services                                                                                  |                                          |  | J.P.Morgan                                |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                    |  |                                          | SPX CORPORATION<br>BASE CURRENCY: USD |               | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>25 |  |
|-------------------------------------------------------------------------------------------------------------|------------------------------------|--|------------------------------------------|---------------------------------------|---------------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                    |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                                  | CURRENT VALUE |                         |  |                       |  |
| 258278100                                                                                                   | DORMAN PRODUCTS INC                |  | 164.000                                  | 4,897                                 | 9,195         |                         |  |                       |  |
| 25960R105                                                                                                   | DOUGLAS DYNAMICS INC USD0.01       |  | 100.000                                  | 1,300                                 | 1,682         |                         |  |                       |  |
| 26168L205                                                                                                   | DREW INDUSTRIES INC USD0.01        |  | 198.000                                  | 7,065                                 | 10,138        |                         |  |                       |  |
| 262037104                                                                                                   | DRIL QUIP INC USD0.01              |  | 1,950.000                                | 63,807                                | 214,364       |                         |  |                       |  |
| 23335C101                                                                                                   | DTS INC COM                        |  | 102.000                                  | 2,427                                 | 2,446         |                         |  |                       |  |
| 26613Q106                                                                                                   | DUPONT FABROS TECHNOLOGY USD1      |  | 195.000                                  | 5,239                                 | 4,818         |                         |  |                       |  |
| 26658A107                                                                                                   | DURATA THERAPEUTICS INC USD0.01    |  | 100.000                                  | 893                                   | 1,279         |                         |  |                       |  |
| 233377407                                                                                                   | DXP ENTERPRISES INC USD0.01        |  | 48.000                                   | 2,378                                 | 5,530         |                         |  |                       |  |
| 26746E103                                                                                                   | DYAX CORP USD0.01                  |  | 710.000                                  | 1,843                                 | 5,346         |                         |  |                       |  |
| 267475101                                                                                                   | DYCOM INDUSTRIES USD0.333          |  | 105.000                                  | 1,576                                 | 2,918         |                         |  |                       |  |
| 267888105                                                                                                   | DYNAMIC MATERIALS CORP USD0.05     |  | 1,900.000                                | 34,303                                | 41,306        |                         |  |                       |  |
| 268158102                                                                                                   | DYNAVAX TECHNOLOGIES CORP USD0.001 |  | 1,129.000                                | 5,178                                 | 2,213         |                         |  |                       |  |
| 270321102                                                                                                   | EARTHLINK INC USD0.01              |  | 17,000.000                               | 124,030                               | 86,190        |                         |  |                       |  |
| 277276101                                                                                                   | EASTGROUP PROPERTIES INC USD0.0001 |  | 164.000                                  | 9,014                                 | 9,501         |                         |  |                       |  |
| 278715206                                                                                                   | EBIX. COM INC USD0.10              |  | 182.000                                  | 4,402                                 | 2,679         |                         |  |                       |  |
| 27875T101                                                                                                   | ECHO GLOBAL LOGISTICS INC USD0.01  |  | 89.000                                   | 1,649                                 | 1,912         |                         |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                    |  |                                          |                                       |               | J.P.Morgan              |  |                       |  |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>26 |               |
|-------------------------------------------------------------------------------------------------------------|--|--|-------------------------------------------|-----------------------|---------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE |
| 28140M103 EDUCATION MANAGEMENT CORP USD0.01                                                                 |  |  | 200.000                                   | 1,127                 | 2,018         |
| 28225C806 ECAIN CORP USD0.001                                                                               |  |  | 100.000                                   | 964                   | 1,024         |
| 28238P109 EHEALTH INC COM NPV                                                                               |  |  | 174.000                                   | 3,021                 | 8,089         |
| 28257U104 EINSTEIN NOAH RESTAURANT GROUP INC NPV                                                            |  |  | 45.000                                    | 827                   | 653           |
| 285218103 ELECTRO RENT CORP NPV                                                                             |  |  | 48.000                                    | 815                   | 889           |
| 286082102 ELECTRONICS FOR IMAGING INC USD0.01                                                               |  |  | 197.000                                   | 5,311                 | 7,630         |
| 28660C106 ELIZABETH ARDEN INC USD0.01                                                                       |  |  | 181.000                                   | 8,103                 | 6,416         |
| 28849P100 ELLE MAE INC USD0.0001                                                                            |  |  | 193.000                                   | 5,338                 | 5,186         |
| 29089Q105 EMERGENT BIOSOLUTIONS USD0.001                                                                    |  |  | 39.000                                    | 575                   | 897           |
| 291005106 EMERITUS CORP USD0.0001                                                                           |  |  | 245.000                                   | 5,368                 | 5,299         |
| 292218104 EMPLOYERS HOLDINGS INC USD0.01                                                                    |  |  | 2,766.000                                 | 46,308                | 87,544        |
| 292554102 ENCORE CAPITAL GROUP INC                                                                          |  |  | 145.000                                   | 4,665                 | 7,288         |
| 29269A102 ENDOCYTE INC USD0.001                                                                             |  |  | 180.000                                   | 1,882                 | 1,924         |
| 29266S106 ENDOLOGIX INC                                                                                     |  |  | 440.000                                   | 5,736                 | 7,674         |
| 29270J100 ENERGY RECOVERY INC USD0.001                                                                      |  |  | 107.000                                   | 472                   | 595           |
| 292764107 ENERNOC INC NPV                                                                                   |  |  | 49.000                                    | 581                   | 843           |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION                          | PAGE<br>C 07103<br>27 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | BASE CURRENCY: USD                       | AS OF                 | DECEMBER 31, 2013 |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                  | CURRENT VALUE     |
| 29275Y102                                                                                                   | ENERSYS COM USD0.01                      |  |  | 81.000                                   | 3,039                 | 5,677             |
| 29355A107                                                                                                   | ENPHASE ENERGY INC USD0.00001            |  |  | 65.000                                   | 289                   | 412               |
| 29355X107                                                                                                   | ENPRO INDUSTRIES INC USD0.01             |  |  | 1,120.000                                | 37,116                | 64,568            |
| 29358P101                                                                                                   | ENSGN GROUP INC COM NFV                  |  |  | 97.000                                   | 3,119                 | 4,294             |
| 29362U104                                                                                                   | ENTECRIS INC USD0.01                     |  |  | 100.000                                  | 941                   | 1,160             |
| 29382R107                                                                                                   | ENTRAVISION COMMUNICATIONS CORP USD0.000 |  |  | 400.000                                  | 2,466                 | 2,436             |
| 29384R105                                                                                                   | ENTROPIC COMMUNICATIONS INC USD0.001     |  |  | 8,100.000                                | 60,154                | 38,151            |
| 29404K106                                                                                                   | ENVESTNET INC USD0.005                   |  |  | 170.000                                  | 1,965                 | 6,851             |
| 29414B104                                                                                                   | EPAM SYSTEMS INC USD0.001                |  |  | 128.000                                  | 3,221                 | 4,472             |
| 26883D108                                                                                                   | EPL OIL & GAS INC USD0.001               |  |  | 100.000                                  | 2,938                 | 2,850             |
| 296315104                                                                                                   | ESCO TECHNOLOGIES INC USD0.01            |  |  | 35.000                                   | 1,344                 | 1,199             |
| 297602104                                                                                                   | ETHAN ALLEN INTERIORS INC USD0.01        |  |  | 8,011.000                                | 213,442               | 243,695           |
| 298736109                                                                                                   | EURONET WORLDWIDE INC USD0.02            |  |  | 300.000                                  | 9,563                 | 14,355            |
| 29977A105                                                                                                   | EVERCORE PARTNERS INC NFV                |  |  | 169.000                                  | 6,479                 | 10,103            |
| 30040P103                                                                                                   | EVERTEC INC USD0.01                      |  |  | 200.000                                  | 4,397                 | 4,932             |
| 300439106                                                                                                   | EVERYWARE GLOBAL INC USD0.0001           |  |  | 100.000                                  | 1,216                 | 828               |
| JPMorgan Investor Services                                                                                  |                                          |  |  | J.P.Morgan                               |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                              |                  |  | SPX CORPORATION                          | PAGE<br>C 07103<br>28 |               |
|-------------------------------------------------------------------------------------------------------------|------------------------------|------------------|--|------------------------------------------|-----------------------|---------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                              |                  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                  | CURRENT VALUE |
| 30049A107                                                                                                   | EVOLUTION PETROLEUM CORP     | USD0.001         |  | 1,236.000                                | 13,997                | 15,252        |
| 30063P105                                                                                                   | EXACT SCIENCES CORP          | USD0.01          |  | 453.000                                  | 4,860                 | 5,296         |
| 30066A105                                                                                                   | EXAMWORKS GROUP INC          | USD0.0001        |  | 247.000                                  | 4,902                 | 7,378         |
| 300645108                                                                                                   | EXAR CORP NPV                |                  |  | 228.000                                  | 2,381                 | 2,688         |
| 269279402                                                                                                   | EXCO RESOURCES INC           | USD0.001         |  | 500.000                                  | 3,828                 | 2,655         |
| 30161Q104                                                                                                   | EXELIXIS INC                 | USD0.001         |  | 1,220.000                                | 6,541                 | 7,479         |
| 302081104                                                                                                   | EXLSERVICE HLDGS INC         | COM STK USD0.001 |  | 240.000                                  | 6,862                 | 6,629         |
| 302104104                                                                                                   | EXONE CO                     | USD0.01          |  | 36.000                                   | 1,541                 | 2,177         |
| 30214U102                                                                                                   | EXPONENT INC                 | USD0.001         |  | 69.000                                   | 3,876                 | 5,343         |
| 30219E103                                                                                                   | EXPRESS INC                  | USD0.01          |  | 548.000                                  | 8,712                 | 10,231        |
| 29788A104                                                                                                   | E2OPEN INC                   | USD0.001         |  | 100.000                                  | 1,658                 | 2,391         |
| 303250104                                                                                                   | FAIR ISAAC CORP              | USD0.01          |  | 245.000                                  | 11,046                | 15,396        |
| 305560302                                                                                                   | FAIRPOINT COMMUNICATIONS INC | USD0.01          |  | 169.000                                  | 1,324                 | 1,911         |
| 307675108                                                                                                   | FARMER BROS CO               | USD1             |  | 57.000                                   | 750                   | 1,326         |
| 311642102                                                                                                   | FARO TECHNOLOGIES INC        | USD0.001         |  | 107.000                                  | 4,423                 | 6,238         |
| 313855108                                                                                                   | FEDERAL SIGNAL CORP          | USD1             |  | 469.000                                  | 3,990                 | 6,871         |
| JPMorgan Investor Services                                                                                  |                              |                  |  | J.P.Morgan                               |                       |               |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |         | SPX CORPORATION<br>BASE CURRENCY: USD |  | AS OF | FACE<br>C 07103<br>DECEMBER 31, 2013 | 29 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|---------|---------------------------------------|--|-------|--------------------------------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE                         |  |       |                                      |    |
| 302411109 FEI CO NPV                                                                                        | 306.000                                  | 17,637  | 27,344                                |  |       |                                      |    |
| 314462102 FEMALE HEALTH CO USD0.01                                                                          | 105.000                                  | 724     | 893                                   |  |       |                                      |    |
| 315405100 FERRO CORP USD1                                                                                   | 500.000                                  | 3,483   | 6,415                                 |  |       |                                      |    |
| 315721209 FIBROCELL SCIENCE INC USD0.001                                                                    | 100.000                                  | 614     | 406                                   |  |       |                                      |    |
| 316603101 FIESTA RESTAURANT GROUP INC USD0.01                                                               | 100.000                                  | 2,040   | 5,224                                 |  |       |                                      |    |
| 317485100 FINANCIAL ENGINES INC USD0.0001                                                                   | 377.000                                  | 9,069   | 26,194                                |  |       |                                      |    |
| 317923100 FINISH LINE INC CLASS'A'COM STK USD0.01                                                           | 4,839.000                                | 95,797  | 136,315                               |  |       |                                      |    |
| 31847R102 FIRST AMERICAN FINANCIAL CORP USD0.00001                                                          | 1,700.000                                | 40,575  | 47,940                                |  |       |                                      |    |
| 31942D107 FIRST CASH FINANCIAL SERVICES INC USD0.0                                                          | 1,089.000                                | 31,566  | 67,344                                |  |       |                                      |    |
| 320209109 FIRST FINANCIAL BANCORP NPV                                                                       | 15,020.000                               | 232,381 | 261,799                               |  |       |                                      |    |
| 32020R109 FIRST FINANCIAL BANKSHARES INC USD0.01                                                            | 159.000                                  | 8,852   | 10,545                                |  |       |                                      |    |
| 33829M101 FIVE BELOW INC USD0.01                                                                            | 248.000                                  | 9,221   | 10,714                                |  |       |                                      |    |
| C35569105 FLEETMATICS GROUP PLC EUR0.015                                                                    | 127.000                                  | 3,682   | 5,493                                 |  |       |                                      |    |
| 343389102 FLOTEK INDUSTRIES NPV                                                                             | 2,705.000                                | 49,025  | 54,289                                |  |       |                                      |    |
| 343468104 FLOW INTERNATIONAL CORP COMMON STOCK EUR                                                          | 67.000                                   | 243     | 271                                   |  |       |                                      |    |
| 34385P108 FUJIDIGM CORP USD0.001                                                                            | 162.000                                  | 2,564   | 6,208                                 |  |       |                                      |    |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>30 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 346091705                                                                                                   | FOREST OIL CORP USD0.10                  |  | 112.000                                   | 591                   | 404               |
| 346233109                                                                                                   | FORESTAR GROUP INC USD1                  |  | 5.000                                     | 112                   | 106               |
| 346563109                                                                                                   | FORRESTER RESEARCH INC USD0.01           |  | 128.000                                   | 3,966                 | 4,897             |
| 34984V100                                                                                                   | FORUM ENERGY TECHNOLOGIES INC USD0.01    |  | 157.000                                   | 3,994                 | 4,437             |
| 349853101                                                                                                   | FORWARD AIR CORPORATION USD0.01          |  | 4,531.000                                 | 174,243               | 198,956           |
| 351793104                                                                                                   | FRANCESCA'S HLDS CORP USD0.01            |  | 254.000                                   | 7,636                 | 4,676             |
| 353469109                                                                                                   | FRANKLIN COVEY CO USD0.05                |  | 56.000                                    | 667                   | 1,113             |
| 3535514102                                                                                                  | FRANKLIN ELECTRIC CO INC USD0.10         |  | 273.000                                   | 8,383                 | 12,187            |
| 302941109                                                                                                   | FTI CONSULTING INC USD0.01               |  | 1,000.000                                 | 31,168                | 41,140            |
| 35952H106                                                                                                   | FUELCELL ENERGY INC USD0.0001            |  | 1,086.000                                 | 1,291                 | 1,531             |
| 359694106                                                                                                   | FULLER(H.B.)CO USD1                      |  | 313.000                                   | 10,616                | 16,289            |
| 36106P101                                                                                                   | FUR-EX PHARMACEUTICALS INC USD0.001 (WT) |  | 100.000                                   | 4,531                 | 4,201             |
| 361086101                                                                                                   | FURMANITE CORP COM STK NFV               |  | 200.000                                   | 1,341                 | 2,124             |
| 36112J107                                                                                                   | FUSION-IO INC USD0.0002                  |  | 4,900.000                                 | 45,732                | 43,659            |
| 36116M106                                                                                                   | FUTUREFUEL CORP COM USD0.0001            |  | 39.000                                    | 605                   | 616               |
| 302695101                                                                                                   | FX ENERGY INC USD0.001                   |  | 395.000                                   | 3,157                 | 1,446             |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>31 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 302693106                                                                                                   | FXCM INC USD0.01 A                       |  | 200.000                                   | 3,285                 | 3,568             |
| 36237H101                                                                                                   | C-III APPAREL GROUP USD0.01              |  | 55.000                                    | 2,554                 | 4,058             |
| 363256108                                                                                                   | CALENA BIOPHARMA USD0.0001               |  | 600.000                                   | 1,341                 | 2,976             |
| 361438104                                                                                                   | CAMCO INVESTORS INC COM STK USD0.01      |  | 77.000                                    | 3,839                 | 6,697             |
| 367299203                                                                                                   | CASTAR EXPLORATION INC COM STK USD 0.001 |  | 400.000                                   | 1,074                 | 2,768             |
| 368682100                                                                                                   | CENCORP INC USD0.10                      |  | 335.000                                   | 3,358                 | 6,037             |
| 368736104                                                                                                   | GENERAC HLDGS USD0.01                    |  | 308.000                                   | 10,595                | 17,445            |
| 369300108                                                                                                   | GENERAL CABLE CORP USD0.01               |  | 7,190.000                                 | 204,235               | 211,458           |
| 369385109                                                                                                   | GENERAL COMMUNICATIONS CLASS'A' COM NPV  |  | 212.000                                   | 2,047                 | 2,364             |
| 371532102                                                                                                   | GENESCO INC USD1                         |  | 75.000                                    | 5,208                 | 5,480             |
| 372309104                                                                                                   | GEMARK DIAGNOSTICS INC USD0.0001         |  | 200.000                                   | 2,097                 | 2,662             |
| 37244C101                                                                                                   | GENOMIC HEALTH INC USD0.0001             |  | 137.000                                   | 4,678                 | 4,010             |
| 37253A103                                                                                                   | GENTHERM INC NPV                         |  | 205.000                                   | 2,737                 | 5,496             |
| 37247A102                                                                                                   | GENTIVA HEALTH SERVICES INC USD0.01      |  | 4,700.000                                 | 44,652                | 58,327            |
| 36159R103                                                                                                   | GEO GROUP INC COM USD0.01                |  | 200.000                                   | 6,793                 | 6,444             |
| 37364X109                                                                                                   | GEOSPACE TECHNOLOGIES CORP USD0.01       |  | 49.000                                    | 2,854                 | 4,647             |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                                 |                                           |               | SPX CORPORATION<br>BASE CURRENCY: USD |           | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>32 |  |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-------------------------------------------|---------------|---------------------------------------|-----------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                                 | DESCRIPTION OF INVESTMENT<br>SHARES / PA3 |               | COST                                  |           | CURRENT VALUE           |  |                       |  |
| 377316104                                                                                                   | CLATFELTER(P.H.)CO USD0.01                      |                                           | 289.000       | 6,853                                 | 7,988     |                         |  |                       |  |
| 379302102                                                                                                   | CLIMCHER REALTY TRUST SHS OF BENEFICIAL USD0.01 |                                           | 908.000       | 10,164                                | 8,499     |                         |  |                       |  |
| 37951D102                                                                                                   | GLOBAL EAGLE ENTERTAINMENT INC USD0.0001        |                                           | 100.000       | 1,008                                 | 1,487     |                         |  |                       |  |
| 37946S107                                                                                                   | GLOBAL GEOPHYSICAL SERVICES INC USD0.01         |                                           | 12.000        | 71                                    | 19        |                         |  |                       |  |
| 37954N206                                                                                                   | GLOBE SPECIALTY METALS INC USD0.0001            |                                           | 13.000        | 207                                   | 234       |                         |  |                       |  |
| 379577208                                                                                                   | GLOBUS MEDICAL INC USD0.001 A                   |                                           | 384.000       | 6,540                                 | 7,749     |                         |  |                       |  |
| 379890106                                                                                                   | CLU MOBILE INC USD0.0001                        |                                           | 335.000       | 1,750                                 | 1,303     |                         |  |                       |  |
| 388991465                                                                                                   | GMO MULTI- STRATEGY FUND (OFFSHORE), L.P        |                                           | 3,020,434.520 | 3,020,435                             | 6,845,277 |                         |  |                       |  |
| 38068T105                                                                                                   | COLD RESOURCE CORP USD0.001                     |                                           | 213.000       | 4,615                                 | 965       |                         |  |                       |  |
| 382410405                                                                                                   | GOODRICH PETROLEUM CORPORATION USD0.20          |                                           | 213.000       | 3,145                                 | 3,625     |                         |  |                       |  |
| 38269P100                                                                                                   | CORDMANS STORES INC USD0.001                    |                                           | 23.000        | 425                                   | 176       |                         |  |                       |  |
| 383082104                                                                                                   | CORMAN-RUPP CO NPV                              |                                           | 142.000       | 3,294                                 | 4,747     |                         |  |                       |  |
| 36225V104                                                                                                   | GP STRATEGIES CORP USD0.01                      |                                           | 154.000       | 3,713                                 | 4,588     |                         |  |                       |  |
| 384556106                                                                                                   | GRAHAM CORP USD0.10                             |                                           | 62.000        | 1,201                                 | 2,250     |                         |  |                       |  |
| 38526M106                                                                                                   | GRAND CANYON EDUCATION INC USD0.01              |                                           | 294.000       | 7,102                                 | 12,818    |                         |  |                       |  |
| 387328107                                                                                                   | GRANITE CONSTRUCTION USD0.01                    |                                           | 11,926.000    | 356,272                               | 417,171   |                         |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                                 |                                           |               |                                       |           |                         |  |                       |  |
| J.P.Morgan                                                                                                  |                                                 |                                           |               |                                       |           |                         |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION<br>BASE CURRENCY: USD     |         | AS OF<br>DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>33 |  |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|---------|----------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST    | CURRENT VALUE              |  |                       |  |
| 388689101                                                                                                   | GRAPHIC PACKAGING HLDG CO USD0.01        |  | 1,400.000                                 | 10,857  | 13,440                     |  |                       |  |
| 390607109                                                                                                   | GREAT LAKES DREDGE & DOCK CORP NEW USD0. |  | 73.000                                    | 571     | 672                        |  |                       |  |
| 395259104                                                                                                   | GREENHILL & CO INC USD0.01               |  | 236.000                                   | 12,289  | 13,674                     |  |                       |  |
| C4095J109                                                                                                   | GREENLIGHT CAPITAL RE LTD USD0.10 A      |  | 7.000                                     | 178     | 236                        |  |                       |  |
| 36191U106                                                                                                   | CT ADVANCED TECHNOLOGIES INC USD0.01     |  | 645.000                                   | 4,276   | 5,624                      |  |                       |  |
| 400523108                                                                                                   | CTX INC USD0.001                         |  | 210.000                                   | 911     | 347                        |  |                       |  |
| 401617105                                                                                                   | GUESS INC USD0.01                        |  | 4,650.000                                 | 123,833 | 144,476                    |  |                       |  |
| 401692108                                                                                                   | GUIDANCE SOFTWARE INC USD0.001           |  | 77.000                                    | 868     | 778                        |  |                       |  |
| 40171V100                                                                                                   | GUIDEWIRE SOFTWARE INC USD0.0001         |  | 264.000                                   | 9,566   | 12,954                     |  |                       |  |
| 402629208                                                                                                   | GULFMARK OFFSHORE INC USD0.01 CLASS A    |  | 3,200.000                                 | 102,630 | 150,816                    |  |                       |  |
| 404030108                                                                                                   | H&E EQUIPMENT SERVICES LLC USD0.01       |  | 239.000                                   | 4,734   | 7,082                      |  |                       |  |
| 404609109                                                                                                   | HACKETT GROUP INC COM                    |  | 48.000                                    | 196     | 298                        |  |                       |  |
| 405024100                                                                                                   | HAEMONETICS CORP USD0.01                 |  | 333.000                                   | 13,247  | 14,029                     |  |                       |  |
| 405217100                                                                                                   | HAIN CELESTIAL GROUP INC USD0.01         |  | 304.000                                   | 20,423  | 27,597                     |  |                       |  |
| 40637H109                                                                                                   | HALOZYME THERAPEUTICS INC USD0.001       |  | 556.000                                   | 3,558   | 8,334                      |  |                       |  |
| 410120109                                                                                                   | HANCOCK HOLDING CO USD3.33               |  | 7,489.000                                 | 240,952 | 274,697                    |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                          |  | J.P.Morgan                                |         |                            |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>34 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 410315105                                                                                                   | HANDY AND HARMAN LTD                     |  |  | 25.000                                    | 378                   | 605               |
| 41043F208                                                                                                   | HANGER INC USD0.01                       |  |  | 100.000                                   | 3,165                 | 3,934             |
| 41068X100                                                                                                   | HANNON ARMSTRONG SUSTAINABLE INFRASTRUCT |  |  | CAPITAL INC REIT USD 0.01<br>100.000      | 1,190                 | 1,396             |
| 414585109                                                                                                   | HARRIS TEETER SUPERMARKETS INC COMMON ST |  |  | 60.000                                    | 2,399                 | 2,961             |
| 419870100                                                                                                   | HAWAIIAN ELECTRIC INDUSTRIES NPV         |  |  | 9,675.000                                 | 252,245               | 252,131           |
| 420261109                                                                                                   | HAWKINS INC USD0.10                      |  |  | 51.000                                    | 2,029                 | 1,897             |
| 420877201                                                                                                   | HAYNES INTERNATIONAL INC COM STK USD0.00 |  |  | 1,250.000                                 | 65,096                | 69,050            |
| 40416E103                                                                                                   | HCI GROUP INC NPV                        |  |  | 41.000                                    | 1,206                 | 2,194             |
| 42210P102                                                                                                   | HEADWATERS INC USD0.001                  |  |  | 475.000                                   | 3,616                 | 4,650             |
| 421946104                                                                                                   | HEALTHCARE REALTY TRUST INC USD0.01      |  |  | 300.000                                   | 7,661                 | 6,393             |
| 421906108                                                                                                   | HEALTHCARE SERVICES GROUP INC USD0.01    |  |  | 430.000                                   | 9,376                 | 12,199            |
| 421924309                                                                                                   | HEALTHSOUTH CORP USD0.01                 |  |  | 499.000                                   | 12,090                | 16,627            |
| 42222N103                                                                                                   | HEALTHSTREAM INC USD0.01                 |  |  | 132.000                                   | 3,840                 | 4,326             |
| 422245100                                                                                                   | HEALTHWAYS INC USD0.001                  |  |  | 200.000                                   | 3,479                 | 3,070             |
| 422347104                                                                                                   | HEARTLAND EXPRESS INC USD0.01            |  |  | 248.000                                   | 3,287                 | 4,866             |
| 42235N108                                                                                                   | HEARTLAND PAYMENT SYSTEMS INC USD0.001   |  |  | 257.000                                   | 8,331                 | 12,809            |
| JPMorgan Investor Services                                                                                  |                                          |  |  | J.P.Morgan                                |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                             |                 |           | SPX CORPORATION    | PAGE<br>C 07103<br>35 |                   |
|-------------------------------------------------------------------------------------------------------------|-----------------------------|-----------------|-----------|--------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                             |                 |           | BASE CURRENCY: USD | AS OF                 | DECEMBER 31, 2013 |
| DESCRIPTION OF INVESTMENT<br>SHARES / PA                                                                    |                             |                 |           | COST               | CURRENT VALUE         |                   |
| 422368100                                                                                                   | HEARTWARE INTERNATIONAL INC | USD0.001        | 147.000   | 13,437             | 13,812                |                   |
| 422704106                                                                                                   | HECLA MINING CO             | USD0.25         | 300.000   | 1,154              | 924                   |                   |
| 422806109                                                                                                   | HEICO CORP                  | USD0.01         | 479.250   | 14,799             | 27,773                |                   |
| 42365Q103                                                                                                   | HEMISPHERE MEDIA GROUP INC  | USD0.0001       | 100.000   | 1,372              | 1,187                 |                   |
| 42726M106                                                                                                   | HERITAGE CRYSTAL CLEAN INC  | USD0.01         | 103.000   | 2,003              | 2,110                 |                   |
| 428291108                                                                                                   | HEXCEL CORP                 | USD0.01         | 1,800.000 | 23,562             | 80,442                |                   |
| 40418F108                                                                                                   | HFF INC                     | USD0.01 A       | 186.000   | 3,005              | 4,994                 |                   |
| 42840B101                                                                                                   | HI-TECH PHARMACAL           | USD0.01         | 9.000     | 295                | 391                   |                   |
| 428567101                                                                                                   | HIBBETT SPORTS INC          | USD0.01         | 172.000   | 10,090             | 11,560                |                   |
| 429060106                                                                                                   | HICKORY TECH CORP           | NPV             | 55.000    | 594                | 706                   |                   |
| 42983D104                                                                                                   | HICHER ONE HLDC INC         | USD0.001        | 246.000   | 3,209              | 2,401                 |                   |
| 431284108                                                                                                   | HIGHWOODS PROPERTIES INC    | USD0.01         | 236.000   | 7,969              | 8,536                 |                   |
| 431466101                                                                                                   | HILL INTERNATIONAL INC      | USD0.0001       | 4,500.000 | 45,220             | 17,775                |                   |
| 431571108                                                                                                   | HILLENERAND INC             | NPV             | 403.000   | 7,742              | 11,856                |                   |
| 43365Y104                                                                                                   | HITTITE MICROWAVE CORP      | USD0.01         | 223.000   | 12,711             | 13,766                |                   |
| 40425J101                                                                                                   | HMS HOLDING CORP            | COM STK USD0.01 | 552.000   | 18,076             | 12,547                |                   |
| JPMorgan Investor Services                                                                                  |                             |                 |           | J.P.Morgan         |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>36 |  |
|-------------------------------------------------------------------------------------------------------------|--|--|--|------------------------------------------|---------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE           |  |                       |  |
| 404251100 HNI CORP COM                                                                                      |  |  |  | 289.000                                  | 8,455   | 11,222                  |  |                       |  |
| 436893200 HOME BANCSHARES INC USD0.01                                                                       |  |  |  | 100.000                                  | 2,599   | 3,735                   |  |                       |  |
| 44047T109 HORIZON PHARMA INC USD0.0001                                                                      |  |  |  | 204.000                                  | 835     | 1,554                   |  |                       |  |
| 440543106 HORNBECK OFFSHORE SERVICES INC USD0.01                                                            |  |  |  | 1,075.000                                | 53,381  | 52,922                  |  |                       |  |
| 44244K109 HOUSTON WIRE & CABLE CO NPV                                                                       |  |  |  | 68.000                                   | 775     | 910                     |  |                       |  |
| 442487203 HOVNANIAN K ENTERPRISES INC USD0.01 A                                                             |  |  |  | 500.000                                  | 2,813   | 3,310                   |  |                       |  |
| 404303109 HSN INC USD0.01                                                                                   |  |  |  | 272.000                                  | 13,249  | 16,946                  |  |                       |  |
| 443320106 HUB GROUP INC CLASS'A'COM SHS USD0.01                                                             |  |  |  | 224.000                                  | 7,013   | 8,933                   |  |                       |  |
| 44915N101 HYPERION THERAPEUTICS INC USD0.0001                                                               |  |  |  | 100.000                                  | 1,661   | 2,022                   |  |                       |  |
| 449172105 HYSTER-YALE MATLS HANDLING INC USD0.01 A                                                          |  |  |  | 100.000                                  | 6,281   | 9,316                   |  |                       |  |
| 450828108 IBERIABANK CORP USD1                                                                              |  |  |  | 3,550.000                                | 183,210 | 223,118                 |  |                       |  |
| 451055107 ICONIX BRAND GROUP INC COM USD                                                                    |  |  |  | 200.000                                  | 5,885   | 7,940                   |  |                       |  |
| 44930C107 ICU MEDICAL INC USD0.10                                                                           |  |  |  | 113.000                                  | 6,667   | 7,199                   |  |                       |  |
| 45166R204 IDENIX PHARMACEUTICALS INC COM USD0.001                                                           |  |  |  | 586.000                                  | 3,291   | 3,504                   |  |                       |  |
| 448947507 IDT CORP CLASS'B'USD0.01                                                                          |  |  |  | 73.000                                   | 609     | 1,305                   |  |                       |  |
| 45169U105 ICATE CORP USD0.01                                                                                |  |  |  | 282.000                                  | 5,034   | 11,325                  |  |                       |  |
| JPMorgan Investor Services                                                                                  |  |  |  | J.P.Morgan                               |         |                         |  |                       |  |

FD491  
SCHEDULE H (FORM 5500 - 4I-1)  
SCHEDULE OF ASSETS HELD FOR  
INVESTMENT PURPOSES AT END OF YEAR

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BASE CURRENCY: USD

| IDENTITY OF ISSUE, BORROWER, LESSOR                | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST    | CURRENT VALUE |
|----------------------------------------------------|-------------------------------------------|---------|---------------|
| 451730105 IGWTE RESTAURANT GROUP INC USD0.01       | 75.000                                    | 1,081   | 938           |
| 452521107 IMMERSION CORP USD0.001                  | 191.000                                   | 1,050   | 1,983         |
| 45253H101 IMMUNOGEN INC USD0.01                    | 461.000                                   | 6,754   | 6,763         |
| 452907108 IMMUNOMEDICS INC USD0.01                 | 485.000                                   | 1,687   | 2,231         |
| 45321L100 IMPERVA INC USD0.0001                    | 127.000                                   | 5,094   | 6,113         |
| 45336E109 INCONTACT INC COM STK NPV                | 367.000                                   | 2,482   | 2,866         |
| 45667C103 INFENRA CORP USD0.001                    | 740.000                                   | 4,397   | 7,237         |
| 45665C303 INFINITY PHARMACEUTICALS INC NPV         | 316.000                                   | 6,851   | 4,364         |
| 45665Q103 INFINITY PROPERTY & CASUALTY CORP COM NP | 3,968.000                                 | 213,824 | 284,704       |
| 45672H104 INFOBLOX INC USD0.0001                   | 312.000                                   | 8,790   | 10,302        |
| 457461200 INLAND REAL ESTATE CORP USD0.01          | 449.000                                   | 4,274   | 4,723         |
| 45773Y105 INNERWORKINGS INC USD0.0001              | 10,260.000                                | 63,077  | 79,925        |
| 45774N108 INNOFOS HOLDINGS INC COM                 | 197.000                                   | 9,862   | 9,574         |
| 45768S105 INNOSPEC INC USD0.01                     | 175.000                                   | 6,853   | 8,089         |
| 45769N105 INNOVATIVE SOLUTIONS & SUPPORT USD0.001  | 133.000                                   | 1,043   | 970           |
| 45772F107 INPHI CORP USD0.001                      | 49.000                                    | 575     | 632           |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                           |  |                                          | SPX CORPORATION<br>BASE CURRENCY: USD |               | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>38 |  |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------|--|------------------------------------------|---------------------------------------|---------------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                           |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                                  | CURRENT VALUE |                         |  |                       |  |
| 457669307                                                                                                   | INSMED INC USD0.01                        |  | 200.000                                  | 2,357                                 | 3,402         |                         |  |                       |  |
| 45778Q107                                                                                                   | INSPERITY INC COM STK USD0.01             |  | 124.000                                  | 3,294                                 | 4,480         |                         |  |                       |  |
| 45774W108                                                                                                   | INSTEEL INDUSTRIES INC COM NFV            |  | 127.000                                  | 2,180                                 | 2,887         |                         |  |                       |  |
| 45784P101                                                                                                   | INSULET CORPORATION USD0.001              |  | 328.000                                  | 7,235                                 | 12,169        |                         |  |                       |  |
| 45824V209                                                                                                   | INSYS THERAPEUTICS INC USD0.0002145       |  | 34.000                                   | 588                                   | 1,316         |                         |  |                       |  |
| 457985208                                                                                                   | INTEGRA LIFESCIENCES HLDGS CORP USD0.001  |  | 104.000                                  | 4,280                                 | 4,962         |                         |  |                       |  |
| 458118106                                                                                                   | INTEGRATED DEVICE TECHNOLOGY INC USD0.001 |  | 4,300.000                                | 40,463                                | 43,817        |                         |  |                       |  |
| 45825N107                                                                                                   | INTELIQUENT INC COM USD0.001              |  | 139.000                                  | 1,221                                 | 1,587         |                         |  |                       |  |
| 458334109                                                                                                   | INTER PARFUMS INC USD0.001                |  | 109.000                                  | 1,923                                 | 3,903         |                         |  |                       |  |
| 45841V109                                                                                                   | INTERACTIVE INTELLIGENCE GROUP COM        |  | 103.000                                  | 3,216                                 | 6,938         |                         |  |                       |  |
| 45845P108                                                                                                   | INTERCEPT PHARMACEUTICALS INC USD0.001    |  | 100.000                                  | 3,961                                 | 6,828         |                         |  |                       |  |
| 45867C101                                                                                                   | INTERDIGITAL INC COM STK USD0.01          |  | 1,266.000                                | 40,624                                | 37,334        |                         |  |                       |  |
| 458665304                                                                                                   | INTERFACE INC USD0.1                      |  | 387.000                                  | 5,620                                 | 8,499         |                         |  |                       |  |
| 45882D109                                                                                                   | INTERMOLECULAR INC USD0.001               |  | 165.000                                  | 1,211                                 | 812           |                         |  |                       |  |
| 45884X103                                                                                                   | INTERMUNE INC USD0.001                    |  | 464.000                                  | 4,470                                 | 6,835         |                         |  |                       |  |
| 460254105                                                                                                   | INTERNATIONAL RECTIFIER CORP USD1         |  | 3,500.000                                | 73,613                                | 91,245        |                         |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                           |  |                                          |                                       |               | J.P.Morgan              |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                         |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF         | PAGE<br>C 07103 | 39 |
|-------------------------------------------------------------------------------------------------------------|-----------------------------------------|--|------------------------------------------|---------|---------------|-----------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                         |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE |                 |    |
| 46069S109                                                                                                   | INTERFIL CORP USD0.01 A                 |  | 19,560.000                               | 211,320 | 224,353       |                 |    |
| 46113M108                                                                                                   | INTERVAL LEISURE GROUP INC USD0.01      |  | 266.000                                  | 5,396   | 8,219         |                 |    |
| 46116V105                                                                                                   | INTL FCSTONE INC                        |  | 18.000                                   | 340     | 334           |                 |    |
| 46121Y102                                                                                                   | INTREPID POTASH INC USD0.001            |  | 2,575.000                                | 76,046  | 40,788        |                 |    |
| 46123D205                                                                                                   | INVENSENSE INC USD0.001                 |  | 428.000                                  | 6,014   | 8,894         |                 |    |
| 461212102                                                                                                   | INVENTURE FOODS INC USD0.01             |  | 59.000                                   | 355     | 782           |                 |    |
| 462044108                                                                                                   | ION GEOPHYSICAL CORPORATION USD0.01     |  | 178.000                                  | 1,332   | 587           |                 |    |
| 44984A105                                                                                                   | IPC THE HOSPITALIST CO INC USD0.001     |  | 157.000                                  | 7,411   | 9,324         |                 |    |
| 462726100                                                                                                   | IROBOT CORP USD0.01                     |  | 153.000                                  | 3,925   | 5,320         |                 |    |
| 46333X108                                                                                                   | IRONWOOD PHARMACEUTICALS INC USD0.001 A |  | 630.000                                  | 8,294   | 7,314         |                 |    |
| 464330109                                                                                                   | ISIS PHARMACEUTICAL USD0.001            |  | 740.000                                  | 11,104  | 29,482        |                 |    |
| 45068B109                                                                                                   | ITT EDUCATIONAL SERVICES INC USD0.01    |  | 200.000                                  | 4,883   | 6,716         |                 |    |
| 45071R109                                                                                                   | IXIA INC NPV                            |  | 360.000                                  | 5,668   | 4,792         |                 |    |
| 466032109                                                                                                   | J & J SNACK FOODS CORP NPV              |  | 105.000                                  | 6,087   | 9,302         |                 |    |
| 466367109                                                                                                   | JACK IN THE BOX INC USD0.01             |  | 227.000                                  | 6,585   | 11,355        |                 |    |
| 47023A309                                                                                                   | JAMBA INC USD0.001                      |  | 152.000                                  | 1,856   | 1,889         |                 |    |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | PAGE<br>C 07103<br>AS OF DECEMBER 31, 2013 |  | 40 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|------------------------------------------|---------|--------------------------------------------|--|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE                              |  |    |
| 47760A108                                                                                                   | JIVE SOFTWARE INC USD0.0001              |  |  | 274.000                                  | 4,580   | 3,083                                      |  |    |
| 477839104                                                                                                   | JOHN BEAN TECHNOLOGIES CORP USD0.01      |  |  | 216.000                                  | 3,697   | 6,335                                      |  |    |
| 48020T101                                                                                                   | JONES GROUP INC/PA COMMON STOCK USD 0.01 |  |  | 12,705.000                               | 161,649 | 190,067                                    |  |    |
| 480838101                                                                                                   | JOS A BANK CLOTHIERS USD0.01             |  |  | 8.000                                    | 398     | 438                                        |  |    |
| 46637N103                                                                                                   | JTH HLDG INC USD0.01 A                   |  |  | 11.000                                   | 209     | 267                                        |  |    |
| 48123V102                                                                                                   | J2 GLOBAL INC COMMON STOCK USD 0.01      |  |  | 299.000                                  | 9,946   | 14,953                                     |  |    |
| 48344T100                                                                                                   | KALOBIOS PHARMACEUTICALS INC USD0.001    |  |  | 98.000                                   | 590     | 433                                        |  |    |
| 483548103                                                                                                   | KAMAN CORP NON-CUM PTG USD1 A            |  |  | 159.000                                  | 5,793   | 6,317                                      |  |    |
| 48562P103                                                                                                   | KAPSTONE PAPER & PACKAGING CORP NPV      |  |  | 300.000                                  | 12,059  | 16,738                                     |  |    |
| 48666K109                                                                                                   | KB HOME USD1                             |  |  | 600.000                                  | 11,787  | 10,968                                     |  |    |
| 48244B100                                                                                                   | KCC HLDGS INC COM USD0.01                |  |  | 6,200.000                                | 209,859 | 74,152                                     |  |    |
| 489398107                                                                                                   | KENNEDY-WILSON HLDGS INC USD0.0001       |  |  | 35.000                                   | 624     | 779                                        |  |    |
| 492515101                                                                                                   | KERYX BIOPHARMACEUTICALS USD0.001        |  |  | 518.000                                  | 1,583   | 6,708                                      |  |    |
| 493723100                                                                                                   | KEYW HLDG CORP USD0.001                  |  |  | 108.000                                  | 1,330   | 1,452                                      |  |    |
| 493732101                                                                                                   | KFORCE INC USD0.01                       |  |  | 156.000                                  | 1,953   | 3,192                                      |  |    |
| 497217109                                                                                                   | KIOR INC USD0.0001 A                     |  |  | 296.000                                  | 2,180   | 497                                        |  |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                           |  |  | SPX CORPORATION<br>BASE CURRENCY: USD     |         | AS OF         | PAGE<br>C 07103 | 41 |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------|--|--|-------------------------------------------|---------|---------------|-----------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                           |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA3 | COST    | CURRENT VALUE |                 |    |
| 497498105                                                                                                   | KIRKLANDS INC NPV                         |  |  | 100.000                                   | 1,727   | 2,367         |                 |    |
| 482564101                                                                                                   | KMC CHEMICALS INC USD0.01                 |  |  | 6.000                                     | 115     | 101           |                 |    |
| 499064103                                                                                                   | KNIGHT TRANSPORTATION INC USD0.01         |  |  | 10,677.000                                | 182,678 | 195,816       |                 |    |
| 498904200                                                                                                   | KNOLL INC COM STK USD1                    |  |  | 216.000                                   | 3,390   | 3,955         |                 |    |
| 50015Q100                                                                                                   | KODIAK OIL & GAS CORP COM NPV             |  |  | 1,806.000                                 | 17,411  | 20,245        |                 |    |
| 500600101                                                                                                   | KOPIN CORP USD0.01                        |  |  | 9,500.000                                 | 37,118  | 40,090        |                 |    |
| 50060P106                                                                                                   | KOPPERS INC USD0.01                       |  |  | 170.000                                   | 6,283   | 7,778         |                 |    |
| 50077C106                                                                                                   | KRATON PERFORMANCE POLYMERS INC USD0.01   |  |  | 3,500.000                                 | 71,717  | 80,675        |                 |    |
| 501014104                                                                                                   | KRISPY KREME DOUGHNUTS INC NPV            |  |  | 400.000                                   | 6,986   | 7,716         |                 |    |
| 50105F105                                                                                                   | KRONOS WORLDWIDE INC COM STK USD0.01      |  |  | 14,061.000                                | 213,471 | 267,862       |                 |    |
| 482738101                                                                                                   | KVH INDUSTRIES USD0.01                    |  |  | 132.000                                   | 1,779   | 1,720         |                 |    |
| 501570105                                                                                                   | KYATHERA BIOPHARMACEUTICALS INC USD0.0000 |  |  | 100.000                                   | 2,679   | 3,725         |                 |    |
| 48273U102                                                                                                   | K12 INC USD0.0001                         |  |  | 151.000                                   | 3,166   | 3,284         |                 |    |
| 505336107                                                                                                   | LA-Z-BOY INC USD1                         |  |  | 102.000                                   | 1,556   | 3,162         |                 |    |
| 505597104                                                                                                   | LACLEDE GROUP INC USD1                    |  |  | 1,595.000                                 | 71,367  | 72,636        |                 |    |
| 50575Q102                                                                                                   | LADENBURG THALMANN FINL SERVS INC USD0.0  |  |  | 715.000                                   | 1,010   | 2,238         |                 |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>42 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 513847103                                                                                                   | LANCASTER COLONY CORP NPV                |  |  | 83.000                                    | 6,066                 | 7,316             |
| 51476K103                                                                                                   | LANDAUER INC USD0.10                     |  |  | 59.000                                    | 3,548                 | 3,104             |
| 514766104                                                                                                   | LANDEC CORP USD0.001                     |  |  | 167.000                                   | 2,111                 | 2,024             |
| 516012101                                                                                                   | LANNETT CO INC USD0.001                  |  |  | 2,600.000                                 | 46,193                | 86,060            |
| 518415104                                                                                                   | LATTICE SEMICONDUCTOR CORP USD0.01       |  |  | 200.000                                   | 1,017                 | 1,102             |
| 521863308                                                                                                   | LEAP WIRELESS INTERNATIONAL INC USD0.000 |  |  | 79.000                                    | 488                   | 1,375             |
| 528872104                                                                                                   | LEXICON PHARMACEUTICALS INC COM STK USD0 |  |  | 1,476.000                                 | 3,390                 | 2,657             |
| 529898108                                                                                                   | LIBBEY INC USD0.01                       |  |  | 163.000                                   | 2,586                 | 3,423             |
| 53217R207                                                                                                   | LIFE TIME FITNESS INC USD0.02            |  |  | 181.000                                   | 8,802                 | 8,507             |
| 53224V100                                                                                                   | LIFELOCK INC USD0.001                    |  |  | 367.000                                   | 3,852                 | 6,022             |
| 53222K106                                                                                                   | LIFEVANTAGE CORP USD0.0001               |  |  | 800.000                                   | 1,868                 | 1,320             |
| 531914109                                                                                                   | LIFEWAY FOODS INC NPV                    |  |  | 21.000                                    | 203                   | 336               |
| 53220K504                                                                                                   | LIGAND PHARMACEUTICAL INC USD0.001 B     |  |  | 78.000                                    | 1,468                 | 4,103             |
| 532746104                                                                                                   | LIMONEIRA CO NPV                         |  |  | 63.000                                    | 1,180                 | 1,675             |
| 533535100                                                                                                   | LINCOLN EDUCATIONAL SERVICES CORP NPV    |  |  | 3,000.000                                 | 40,222                | 14,940            |
| 535555106                                                                                                   | LINDSAY CORP USD1                        |  |  | 48.000                                    | 3,355                 | 3,972             |
| JPMorgan Investor Services                                                                                  |                                          |  |  | J.P.Morgan                                |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  |  | SPX CORPORATION<br>BASE CURRENCY: USD |                   | PAGE<br>C 07103<br>43 |  |
|-------------------------------------------------------------------------------------------------------------|--|--|--|---------------------------------------|-------------------|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  |  | AS OF                                 | DECEMBER 31, 2013 |                       |  |
| DESCRIPTION OF INVESTMENT<br>SHARES / PA                                                                    |  |  |  | COST                                  | CURRENT VALUE     |                       |  |
| 535782106 LINNCO LLC USD0.01(3EPR LTD LIABILITY CO                                                          |  |  |  | 213.360                               | 5,353             | 6,574                 |  |
| 536252109 LIONERIDGE TECHNOLOGIES INC USD0.01                                                               |  |  |  | 384.000                               | 1,262             | 2,289                 |  |
| 536353107 LIQUIDITY SERVICES INC USD0.001                                                                   |  |  |  | 136.000                               | 7,291             | 3,082                 |  |
| 536797103 LITHIA MOTORS INC NPV A                                                                           |  |  |  | 200.000                               | 10,665            | 13,884                |  |
| 537008104 LITTELFUSE INC USD0.01                                                                            |  |  |  | 134.000                               | 7,397             | 12,453                |  |
| 538146101 LIVEPERSON INC USD0.001                                                                           |  |  |  | 414.000                               | 7,501             | 6,135                 |  |
| 541421109 LOCMEIN INC NPV                                                                                   |  |  |  | 201.000                               | 4,742             | 6,744                 |  |
| 543881106 LORAL SPACE & COMMUNICATIONS INC USD0.01                                                          |  |  |  | 40.000                                | 2,791             | 3,239                 |  |
| 546347105 LOUISIANA-PACIFIC CORP USD1                                                                       |  |  |  | 700.000                               | 10,364            | 12,957                |  |
| 502160104 LSB INDUSTRIES INC USD0.10                                                                        |  |  |  | 95.000                                | 3,976             | 3,897                 |  |
| 502175102 LTC PROPERTIES INC USD0.01                                                                        |  |  |  | 176.000                               | 6,663             | 6,229                 |  |
| 55003T107 LUMBER LIQUIDATORS HLDGS INC USD0.001                                                             |  |  |  | 210.000                               | 11,049            | 21,607                |  |
| 55027E102 LUMINEX CORP(DEL) USD0.001                                                                        |  |  |  | 248.000                               | 5,012             | 4,811                 |  |
| 550283105 LUMOS NETWORKS CORP USD0.01                                                                       |  |  |  | 100.000                               | 828               | 2,100                 |  |
| 552074700 LYON WILLIAM HOMES USD0.001 A                                                                     |  |  |  | 100.000                               | 2,523             | 2,214                 |  |
| 55405Y100 M/A-COM TECH SOLUTIONS HLDGS INC USD0.00                                                          |  |  |  | 27.000                                | 388               | 459                   |  |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>44 |               |
|-------------------------------------------------------------------------------------------------------------|--|--|-------------------------------------------|-----------------------|---------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE |
| 556269108 MADDEN(STEVEN) USD0.0001                                                                          |  |  | 1,805.000                                 | 60,334                | 66,045        |
| x6787E101 MACCJACK VOCALTEC LTD ILS0.65                                                                     |  |  | 76.000                                    | 1,979                 | 906           |
| 559733102 MAGNUM HUNTER RESOURCES CORP COM STK USD                                                          |  |  | 363.000                                   | 1,846                 | 2,654         |
| 559733110 MAGNUM HUNTER RESOURCES CORP USD                                                                  |  |  | 35.000                                    | 0                     | 0             |
| C5753U112 MAIDEN HLDS LTD USD0.01                                                                           |  |  | 72.000                                    | 881                   | 787           |
| 562750109 MANHATTAN ASSOCIATES INC USD0.01                                                                  |  |  | 103.000                                   | 6,084                 | 12,100        |
| 563420108 MANITEX INTL INC NFV                                                                              |  |  | 100.000                                   | 1,097                 | 1,588         |
| 56400P201 MANKIND CORP COM USD0.01                                                                          |  |  | 967.000                                   | 2,911                 | 5,038         |
| 56804T106 MARIN SOFTWARE INC USD0.001                                                                       |  |  | 100.000                                   | 1,026                 | 1,024         |
| 568427108 MARINE PRODUCTS CORP USD0.10                                                                      |  |  | 66.000                                    | 381                   | 663           |
| 57060D108 MARKETAXESS HOLDINGS INC                                                                          |  |  | 295.000                                   | 8,930                 | 19,727        |
| 57063L107 MARKETO INC USD0.0001                                                                             |  |  | 100.000                                   | 3,543                 | 3,707         |
| 574795100 MASIMO CORPORATION USD0.001                                                                       |  |  | 367.000                                   | 8,832                 | 10,727        |
| 576323109 MASTEC INC USD0.1                                                                                 |  |  | 2,409.000                                 | 43,070                | 78,822        |
| 576690101 MATERION CORP USD1                                                                                |  |  | 48.000                                    | 1,278                 | 1,481         |
| 576853105 MATRIX SERVICE CO USD0.01                                                                         |  |  | 30.000                                    | 346                   | 734           |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                           |  |                                           | SPX CORPORATION<br>BASE CURRENCY: USD |               | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>45 |  |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------|--|-------------------------------------------|---------------------------------------|---------------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                           |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                                  | CURRENT VALUE |                         |  |                       |  |
| 57686C105                                                                                                   | MATSON INC NPV                            |  | 300.000                                   | 7,505                                 | 7,833         |                         |  |                       |  |
| 577128101                                                                                                   | MATTHEWS INTL CORP USD1 A                 |  | 118.000                                   | 3,828                                 | 5,028         |                         |  |                       |  |
| 57722W106                                                                                                   | MATTHESS FIRM HLDG CORP USD0.001          |  | 51.000                                    | 1,758                                 | 2,195         |                         |  |                       |  |
| 577933104                                                                                                   | MAXIMUS INC NPV                           |  | 466.000                                   | 13,526                                | 20,499        |                         |  |                       |  |
| 57776J100                                                                                                   | MAXLINEAR INC USD0.01 A                   |  | 203.000                                   | 1,430                                 | 2,117         |                         |  |                       |  |
| 577767106                                                                                                   | MAXWELL TECHNOLOGIES INC USD0.10          |  | 168.000                                   | 1,459                                 | 1,305         |                         |  |                       |  |
| 579489105                                                                                                   | MCCLATCHY CO USD0.01 A                    |  | 300.000                                   | 689                                   | 1,020         |                         |  |                       |  |
| 580589109                                                                                                   | MCCRATH RENTCORP NPV                      |  | 48.000                                    | 1,299                                 | 1,910         |                         |  |                       |  |
| 552676108                                                                                                   | MDC HLDGS INC USD0.01                     |  | 11,960.000                                | 376,776                               | 385,590       |                         |  |                       |  |
| 552697104                                                                                                   | MDC PARTNERS INC CLASS'A'SUB VTC SHS NPV  |  | 79.000                                    | 591                                   | 2,015         |                         |  |                       |  |
| 583421102                                                                                                   | MEASUREMENT SPECIALITIES INC NPV          |  | 77.000                                    | 2,622                                 | 4,673         |                         |  |                       |  |
| 584045108                                                                                                   | MEDASSETS USD0.01                         |  | 435.000                                   | 7,696                                 | 8,626         |                         |  |                       |  |
| 584688105                                                                                                   | MEDICINES CO USD0.001                     |  | 418.000                                   | 11,251                                | 16,143        |                         |  |                       |  |
| 58471A105                                                                                                   | MEDIDATA SOLUTION INC USD0.01             |  | 374.000                                   | 8,018                                 | 22,653        |                         |  |                       |  |
| 58470H101                                                                                                   | MEDIFAST INC USD0.001                     |  | 118.000                                   | 3,190                                 | 3,083         |                         |  |                       |  |
| 552793202                                                                                                   | MEI PHARMA INC USD0.00000002 (POST REV SP |  | 56.000                                    | 425                                   | 449           |                         |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                           |  |                                           |                                       |               | J.P.Morgan              |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>46 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 589499102                                                                                                   | MERCE HEALTHCARE INC                     |  |  | 412.000                                   | 1,688                 | 956               |
| 589584101                                                                                                   | MERIDIAN BIOSCIENCE INC NPV              |  |  | 318.000                                   | 5,859                 | 8,437             |
| 59001A102                                                                                                   | MERTAGE HOMES CORPORATION                |  |  | 203.000                                   | 8,638                 | 9,742             |
| 590328100                                                                                                   | MERRIMACK PHARMACEUTICALS INC USD0.01    |  |  | 701.000                                   | 4,905                 | 3,743             |
| 591520200                                                                                                   | METHODE ELECTRONICS INC COM CLASS'A'USD0 |  |  | 100.000                                   | 1,703                 | 3,419             |
| 552848103                                                                                                   | MGIC INVESTMENT CORP USD1                |  |  | 1,200.000                                 | 7,302                 | 10,128            |
| 594793101                                                                                                   | MICREL INC NPV                           |  |  | 35,429.000                                | 384,931               | 349,684           |
| 595137100                                                                                                   | MICROSEMI USD0.20                        |  |  | 520.000                                   | 11,223                | 12,974            |
| 594972408                                                                                                   | MICROSTRATEGY INC.                       |  |  | 34.000                                    | 4,505                 | 4,224             |
| 596278101                                                                                                   | MIDDLEBY CORP/THE COMMON STOCK USD 0.01  |  |  | 186.000                                   | 31,682                | 44,634            |
| 598153104                                                                                                   | MIDWAY GOLD CORP COM NPV                 |  |  | 769.000                                   | 1,090                 | 623               |
| 60040N105                                                                                                   | MILLENNIAL MEDIA INC USD0.001            |  |  | 285.000                                   | 3,064                 | 2,072             |
| 600544100                                                                                                   | MILLER (HERMAN) INC USD0.20              |  |  | 395.000                                   | 8,325                 | 11,660            |
| 602496101                                                                                                   | MIMECX GROUP INC COM NPV                 |  |  | 600.000                                   | 4,245                 | 5,244             |
| 602720104                                                                                                   | MINE SAFETY APPLIANCES CO NPV            |  |  | 152.000                                   | 5,689                 | 7,784             |
| 60649T107                                                                                                   | MISTRAS GROUP INC 0.01 USD               |  |  | 129.000                                   | 2,943                 | 2,694             |
| JPMorgan Investor Services                                                                                  |                                          |  |  | J.P.Morgan                                |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                       |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>47 |  |
|-------------------------------------------------------------------------------------------------------------|---------------------------------------|--|------------------------------------------|---------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                       |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE           |  |                       |  |
| 606710200                                                                                                   | MITEK SYSTEMS INC USD0.001            |  | 200.000                                  | 1,159   | 1,188                   |  |                       |  |
| 55306N104                                                                                                   | MKS INSTRUMENTS INC NPV               |  | 8,590.000                                | 203,693 | 257,185                 |  |                       |  |
| 607525102                                                                                                   | MODEL N INC USD0.00015                |  | 100.000                                  | 2,338   | 1,179                   |  |                       |  |
| 60855R100                                                                                                   | MOLINA HEALTHCARE INC USD0.001        |  | 165.000                                  | 5,944   | 5,734                   |  |                       |  |
| 60877T100                                                                                                   | MOMENTA PHARMACEUTICALS INC USD0.0001 |  | 276.000                                  | 4,096   | 4,880                   |  |                       |  |
| 609027107                                                                                                   | MONARCH CASINO & RESORT USD0.01       |  | 22.000                                   | 402     | 442                     |  |                       |  |
| 60935Y208                                                                                                   | MONEYGRAM INTL INC COM NEW            |  | 61.000                                   | 933     | 1,268                   |  |                       |  |
| 609839105                                                                                                   | MONOLITHIC POWER SYSTEM INC USD0.001  |  | 260.000                                  | 5,536   | 9,012                   |  |                       |  |
| 61022P100                                                                                                   | MONOTYPE IMAGING HLDS INC USD0.001    |  | 302.000                                  | 4,688   | 9,622                   |  |                       |  |
| 610236101                                                                                                   | MONRO MUFFLER BRAKE INC USD0.01       |  | 246.000                                  | 9,247   | 13,865                  |  |                       |  |
| 615394202                                                                                                   | MOOC INC CLASS'A'(LIM.V)USD1          |  | 35.000                                   | 1,393   | 2,378                   |  |                       |  |
| 61748W108                                                                                                   | MORGANS HOTEL GROUP NPV               |  | 74.000                                   | 442     | 602                     |  |                       |  |
| 619718109                                                                                                   | MOSYS INC USD0.01                     |  | 300.000                                  | 1,211   | 1,656                   |  |                       |  |
| 62458M207                                                                                                   | MOVE INC COM USD0.001                 |  | 270.000                                  | 2,369   | 4,317                   |  |                       |  |
| 553777103                                                                                                   | MTS SYSTEMS CORP USD0.25              |  | 142.000                                  | 7,672   | 10,118                  |  |                       |  |
| 624756102                                                                                                   | MUELLER INDUSTRIES INC USD0.01        |  | 234.000                                  | 11,776  | 14,744                  |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                       |  | J.P.Morgan                               |         |                         |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |                                           | SPX CORPORATION<br>BASE CURRENCY: USD |               | AS OF<br>DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>48 |  |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|---------------------------------------|---------------|----------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAI | COST                                  | CURRENT VALUE |                            |  |                       |  |
| 624758108                                                                                                   | MUELLER WATER PRODUCTS INC USD0.01 A     |  | 1,105.000                                 | 5,865                                 | 10,354        |                            |  |                       |  |
| 625383104                                                                                                   | MULTI-COLOR CORP NPV                     |  | 22.000                                    | 652                                   | 830           |                            |  |                       |  |
| 625453105                                                                                                   | MULTIMEDIA GAMES HLDC CO INC USD0.01     |  | 173.000                                   | 2,718                                 | 5,425         |                            |  |                       |  |
| 55402X105                                                                                                   | MVI VETERINARY SUPPLY INC USD0.01        |  | 148.000                                   | 20,402                                | 25,247        |                            |  |                       |  |
| 628464109                                                                                                   | MYERS INDUSTRIES INC NPV                 |  | 13.000                                    | 208                                   | 275           |                            |  |                       |  |
| 55405W104                                                                                                   | MYR GROUP INC USD0.01                    |  | 2,900.000                                 | 60,893                                | 72,732        |                            |  |                       |  |
| 630077105                                                                                                   | NANOMETRICS NPV                          |  | 100.000                                   | 1,469                                 | 1,905         |                            |  |                       |  |
| 63009F105                                                                                                   | NANOSPHERE INC USD0.01                   |  | 300.000                                   | 926                                   | 687           |                            |  |                       |  |
| 633707104                                                                                                   | NATIONAL BANK HOLDINGS CORP USD0.01 A    |  | 10,860.000                                | 203,849                               | 232,404       |                            |  |                       |  |
| 635017106                                                                                                   | NATIONAL BEVERAGE CORP USD0.01           |  | 98.000                                    | 1,455                                 | 1,976         |                            |  |                       |  |
| 635309107                                                                                                   | NATIONAL CINEMEDIA INC USD0.01           |  | 95.000                                    | 1,468                                 | 1,896         |                            |  |                       |  |
| 63633D104                                                                                                   | NATIONAL HEALTH INVESTORS INC USD0.01    |  | 142.000                                   | 7,537                                 | 7,966         |                            |  |                       |  |
| 637138108                                                                                                   | NATIONAL PENN BANCSHARES NPV             |  | 9,935.000                                 | 108,404                               | 112,564       |                            |  |                       |  |
| 63888U108                                                                                                   | NATURAL GROCERS BY VITA COTTAGE USD0.001 |  | 32.000                                    | 958                                   | 1,358         |                            |  |                       |  |
| 639050103                                                                                                   | NATUS MEDICAL INC USD0.001               |  | 76.000                                    | 942                                   | 1,710         |                            |  |                       |  |
| 639103102                                                                                                   | NAUTILUS INC NPV                         |  | 200.000                                   | 1,741                                 | 1,686         |                            |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                          |  |                                           |                                       |               | J.P.Morgan                 |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |       |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF         | PAGE<br>C 07103 | 49 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|-------|--|------------------------------------------|---------|---------------|-----------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |       |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE |                 |    |
| 63937X103                                                                                                   | NAVDEA BIOPHARMACEUTICALS INC COMMON ST  | 0.001 |  | 711.000                                  | 2,246   | 1,472         |                 |    |
| 63935N107                                                                                                   | NAVICANT CONSULTING INC USD0.001         |       |  | 2,600.000                                | 26,805  | 49,920        |                 |    |
| 63934E108                                                                                                   | NAVSTAR INTERNATIONAL CORP USD0.10       |       |  | 1,500.000                                | 40,895  | 57,285        |                 |    |
| 628852204                                                                                                   | NCI BUILDING SYSTEMS INC USD0.01         |       |  | 100.000                                  | 1,531   | 1,754         |                 |    |
| 640268108                                                                                                   | NEKTAR THERAPEUTICS USD0.0001            |       |  | 529.000                                  | 4,948   | 6,004         |                 |    |
| 640491106                                                                                                   | NEOGEN CORP USD0.16                      |       |  | 217.000                                  | 5,658   | 9,917         |                 |    |
| 64049M209                                                                                                   | NEOENOMICS INC NPV                       |       |  | 200.000                                  | 799     | 724           |                 |    |
| 64051M402                                                                                                   | NEONODE INC USD0.001                     |       |  | 215.000                                  | 855     | 1,359         |                 |    |
| 64115T104                                                                                                   | NETSCOUT SYSTEMS INC USD0.001            |       |  | 206.000                                  | 5,355   | 6,096         |                 |    |
| 64125C109                                                                                                   | NEUROCRINE BIOSCIENCES INC COM STK 0.001 |       |  | 418.000                                  | 3,266   | 3,904         |                 |    |
| 64828T102                                                                                                   | NEW RESIDENTIAL INVT CORP USD0.01        |       |  | 39,003.000                               | 260,613 | 260,540       |                 |    |
| 649295102                                                                                                   | NEW YORK & CO INC USD0.01                |       |  | 145.000                                  | 565     | 634           |                 |    |
| 651511107                                                                                                   | NEWLINK GENETICS CORP USD0.01            |       |  | 126.000                                  | 1,924   | 2,773         |                 |    |
| 651718504                                                                                                   | NEWPARK RESOURCES INC USD0.01            |       |  | 500.000                                  | 5,503   | 6,145         |                 |    |
| 65336K103                                                                                                   | NEXSTAR BROADCASTING GROUP INC USD0.01 A |       |  | 173.000                                  | 5,719   | 9,641         |                 |    |
| 62914B100                                                                                                   | NIC INC COM NPV                          |       |  | 465.000                                  | 6,753   | 11,565        |                 |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |           |                                          | SPX CORPORATION<br>BASE CURRENCY: USD |               | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>50 |  |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|-----------|------------------------------------------|---------------------------------------|---------------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |           | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                                  | CURRENT VALUE |                         |  |                       |  |
| 656559309                                                                                                   | NORTEK INC COM NEW                       |           | 113.000                                  | 7,588                                 | 8,430         |                         |  |                       |  |
| 66611T108                                                                                                   | NORTHFIELD BANCORP INC COMMON STOCK USD  |           | 6,060.000                                | 73,411                                | 79,992        |                         |  |                       |  |
| 667340103                                                                                                   | NORTHWEST BANCSHARES INC USD0.01         |           | 3,700.000                                | 50,888                                | 54,686        |                         |  |                       |  |
| 667655104                                                                                                   | NORTHWEST NATURAL GAS CO USD3.167        |           | 4,750.000                                | 199,603                               | 203,395       |                         |  |                       |  |
| 668074305                                                                                                   | NORTHWESTERN CORPORATION USD0.01         |           | 775.000                                  | 23,323                                | 33,573        |                         |  |                       |  |
| 670002104                                                                                                   | NOVAVAX INC USD0.01                      |           | 955.000                                  | 1,847                                 | 4,890         |                         |  |                       |  |
| 62936P103                                                                                                   | NPS PHARMACEUTICALS INC USD0.001         |           | 461.000                                  | 4,198                                 | 13,996        |                         |  |                       |  |
| 67020Q305                                                                                                   | NTELOS HLDS CORP USD0.01                 |           | 91.000                                   | 1,532                                 | 1,841         |                         |  |                       |  |
| 67069D108                                                                                                   | NUTRISYSTEM INC USD0.001                 |           | 149.000                                  | 1,602                                 | 2,450         |                         |  |                       |  |
| 670704105                                                                                                   | NUVASIVE INC USD0.001                    |           | 81.000                                   | 1,753                                 | 2,619         |                         |  |                       |  |
| 67091K203                                                                                                   | NUVEIRA ENVIRONMENTAL SOLUTIONS INC COMM | USD 0.001 | 3.000                                    | 139                                   | 50            |                         |  |                       |  |
| 629445206                                                                                                   | NVE CORP USD0.01                         |           | 27.000                                   | 1,612                                 | 1,574         |                         |  |                       |  |
| 67072V103                                                                                                   | NXSTACE MEDICAL INC NPV                  |           | 8,361.000                                | 96,058                                | 83,610        |                         |  |                       |  |
| 676118102                                                                                                   | ODYSSEY MARINE EXPLORATION USD0.0001     |           | 528.000                                  | 1,927                                 | 1,067         |                         |  |                       |  |
| 676220106                                                                                                   | OFFICE DEPOT INC USD0.01                 |           | 33,195.000                               | 126,071                               | 175,602       |                         |  |                       |  |
| 67103X102                                                                                                   | OFC BANCORP COMMON STOCK USD 1           |           | 4,000.000                                | 62,771                                | 69,360        |                         |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                          |           |                                          |                                       |               | J.P.Morgan              |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                        |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF         | PAGE<br>C 07103 | 51 |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------|--|------------------------------------------|---------|---------------|-----------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                        |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE |                 |    |
| 680033107                                                                                                   | OLD NATIONAL BANCORP(INDIANA) USD1     |  | 8,220.000                                | 113,607 | 126,341       |                 |    |
| 680665205                                                                                                   | OLIN CORP USD1                         |  | 397.000                                  | 9,060   | 11,453        |                 |    |
| 682143102                                                                                                   | OMEROS CORP NPV                        |  | 180.000                                  | 1,602   | 2,032         |                 |    |
| 68213N109                                                                                                   | OMNI-CELL INC NPV                      |  | 104.000                                  | 2,014   | 2,655         |                 |    |
| 682128103                                                                                                   | OMNI-VISION TECHNOLOGIES INC USD0.001  |  | 25.000                                   | 430     | 430           |                 |    |
| 682129101                                                                                                   | OMNOVA SOLUTIONS INC USD0.1            |  | 359.000                                  | 3,087   | 3,270         |                 |    |
| 682159108                                                                                                   | ON ASSIGNMENT USD0.01                  |  | 264.000                                  | 5,107   | 9,219         |                 |    |
| 68230A106                                                                                                   | ONCOCENEX PHARMACEUTICALS INC USD0.001 |  | 83.000                                   | 1,195   | 692           |                 |    |
| 68372A104                                                                                                   | OPENTABLE INC NPV                      |  | 115.000                                  | 5,389   | 9,128         |                 |    |
| 68375N103                                                                                                   | OPKO HEALTH INC USD0.01                |  | 1,229.000                                | 7,475   | 10,373        |                 |    |
| 68557K109                                                                                                   | ORBITZ WORLDWIDE INC USD0.01           |  | 206.000                                  | 588     | 1,479         |                 |    |
| 68572N104                                                                                                   | ORCHIDS PAPER PRODUCTS CO USD0.001     |  | 37.000                                   | 842     | 1,215         |                 |    |
| 686164104                                                                                                   | OREXICEN THERAPEUT COM STK USD0.001    |  | 658.000                                  | 3,815   | 3,705         |                 |    |
| 68633D103                                                                                                   | ORITANI FINANCIAL CORP USD0.01         |  | 4,457.000                                | 68,860  | 71,535        |                 |    |
| 671044105                                                                                                   | OSI SYSTEMS INC NPV                    |  | 2,177.000                                | 103,012 | 115,620       |                 |    |
| 68827R108                                                                                                   | OSIRIS THERAPEUTICS INC USD0.001       |  | 134.000                                  | 1,285   | 2,155         |                 |    |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103 52 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|--------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF              | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST               | CURRENT VALUE     |
| 690070107                                                                                                   | OUTERWALL INC COMMON STOCK USD 0.001     |  | 161.000                                   | 8,306              | 10,830            |
| 69014Q101                                                                                                   | OVASCIENCE INC USD0.001                  |  | 100.000                                   | 1,375              | 914               |
| 690370101                                                                                                   | OVERSTOCK.COM INC USD0.0001              |  | 107.000                                   | 1,036              | 3,295             |
| 690732102                                                                                                   | OWENS & MINOR INC COM STK USD2           |  | 80.000                                    | 2,305              | 2,925             |
| 691497309                                                                                                   | OXFORD INDUSTRIES INC USD1               |  | 51.000                                    | 2,911              | 4,114             |
| 69373H106                                                                                                   | PACER INTL INC COM                       |  | 7.000                                     | 28                 | 58                |
| 694873100                                                                                                   | PACIFIC SUNWEAR OF CALIFORNIA INC USD0.0 |  | 300.000                                   | 1,100              | 1,002             |
| 695127100                                                                                                   | PACIRA PHARMACEUTICALS INC USD0.001      |  | 203.000                                   | 4,206              | 11,670            |
| 698477106                                                                                                   | PANHANDLE OIL & GAS INC USD0.01666 A     |  | 84.000                                    | 2,746              | 2,806             |
| 698813102                                                                                                   | PAPA JOHNS INTERNATIONAL INC USD0.01     |  | 228.000                                   | 5,898              | 10,351            |
| 69924P102                                                                                                   | PARAMOUNT GOLD & SILVER CORP COM STK USD |  | 942.000                                   | 2,398              | 878               |
| 699462107                                                                                                   | PAREXEL INTERNATIONAL CORP USD0.01       |  | 383.000                                   | 11,923             | 17,304            |
| 700666100                                                                                                   | PARK-OHIO HOLDINGS CORP USD1             |  | 115.000                                   | 3,974              | 6,026             |
| 701354102                                                                                                   | PARKVISION INC USD0.01                   |  | 595.000                                   | 1,564              | 2,707             |
| 703343103                                                                                                   | PATRICK INDUSTRIES INC NFV               |  | 76.000                                    | 1,395              | 2,199             |
| 693282105                                                                                                   | PDF SOLUTIONS INC USD0.00015             |  | 158.000                                   | 2,078              | 4,048             |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                       |  | SPX CORPORATION                           | AS OF  | PAGE<br>C 07103 | 53 |
|-------------------------------------------------------------------------------------------------------------|---------------------------------------|--|-------------------------------------------|--------|-----------------|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                       |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST   | CURRENT VALUE   |    |
| 69329Y104                                                                                                   | PDL BIOPHARMA INC USD0.01             |  | 985.000                                   | 7,521  | 8,313           |    |
| 705573103                                                                                                   | PECASYSTEMS INC USD0.01               |  | 169.000                                   | 4,949  | 8,311           |    |
| 70686R104                                                                                                   | PENDRELL CORP USD0.01 A               |  | 136.000                                   | 357    | 273             |    |
| 70959W103                                                                                                   | PENSKE AUTOMOTIVE GROUP INC USD0.0001 |  | 101.000                                   | 3,343  | 4,763           |    |
| 713661304                                                                                                   | PEREGRINE PHARMACEUTICALS USD0.001    |  | 1,000.000                                 | 1,305  | 1,390           |    |
| 71366R703                                                                                                   | PEREGRINE SEMICONDUCTOR CORP USD0.001 |  | 162.000                                   | 1,871  | 1,200           |    |
| 71375U101                                                                                                   | PERFICIENT INC USD0.001               |  | 49.000                                    | 561    | 1,148           |    |
| 71377E105                                                                                                   | PERFORMANT FINANCIAL USD0.0001        |  | 140.000                                   | 1,594  | 1,442           |    |
| 716382106                                                                                                   | PETMED EXPRESS INC USD0.001           |  | 136.000                                   | 1,369  | 2,262           |    |
| 716748108                                                                                                   | PETROQUEST ENERGY INC USD0.001        |  | 400.000                                   | 1,590  | 1,728           |    |
| 69336V101                                                                                                   | PCT INC NPV                           |  | 269.000                                   | 1,883  | 2,722           |    |
| 720186105                                                                                                   | PIEDMONT NATURAL GAS CO INC NPV       |  | 2,510.000                                 | 82,241 | 83,232          |    |
| 720279108                                                                                                   | PIER 1 IMPORTS INC USD1               |  | 646.000                                   | 12,434 | 14,910          |    |
| 721283109                                                                                                   | PIKE CORP COMMON STOCK USD 0.001      |  | 100.000                                   | 1,232  | 1,057           |    |
| 72147K108                                                                                                   | PILGRIMS PRIDE CORP NEW USD0.01       |  | 425.000                                   | 2,845  | 6,906           |    |
| 723456109                                                                                                   | PINNACLE ENTERTAINMENT INC USD0.10    |  | 410.000                                   | 7,832  | 10,656          |    |
| JPMorgan Investor Services                                                                                  |                                       |  | J.P.Morgan                                |        |                 |    |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>54 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| U72603118                                                                                                   | PLANET PAYMENT INC USD0.01 (UNRESTRICTED |  | 300.000                                   | 833                   | 834               |
| 727493108                                                                                                   | P-ANTRONICS INC USD0.01                  |  | 1,738.000                                 | 59,888                | 80,730            |
| 693417107                                                                                                   | P-LX TECHNOLOGY USD0.001                 |  | 296.000                                   | 1,850                 | 1,948             |
| 72941W100                                                                                                   | P-LY CEM HLDGS INC USD0.01               |  | 100.000                                   | 2,008                 | 1,803             |
| 69344F106                                                                                                   | PMC-SIERRA INC COMMON STOCK USD 0.001    |  | 600.000                                   | 3,819                 | 3,858             |
| 73179P106                                                                                                   | POLYONE CORP USD0.01                     |  | 641.000                                   | 12,365                | 22,659            |
| 73179V103                                                                                                   | POLYPORE INTERNATIONAL INC USD0.01       |  | 300.000                                   | 12,095                | 11,670            |
| 73278L105                                                                                                   | POOL CORP USD0.001                       |  | 293.000                                   | 11,901                | 17,035            |
| 73640Q105                                                                                                   | PORTFOLIO RECOVERY ASSOCIATES INC USD0.0 |  | 1,361.000                                 | 35,831                | 71,915            |
| 736508847                                                                                                   | PORTLAND GENERAL ELECTRIC CO COM NPV     |  | 8,145.000                                 | 233,963               | 245,979           |
| 737010108                                                                                                   | PORTOLA PHARMACEUTICALS INC USD0.001     |  | 100.000                                   | 2,459                 | 2,575             |
| 737630103                                                                                                   | POTLATCH CORP USD1                       |  | 295.000                                   | 11,448                | 12,313            |
| 739276103                                                                                                   | POWER INTEGRATIONS INC USD0.001          |  | 169.000                                   | 5,917                 | 9,434             |
| 73936N105                                                                                                   | POWERSECURE INTL INC USD0.01             |  | 100.000                                   | 1,505                 | 1,717             |
| 74022D308                                                                                                   | PRECISION DRILLING CORP NPV              |  | 12,150.000                                | 108,213               | 113,846           |
| 740585104                                                                                                   | PREMIERE GLOBAL SERVICES INC COM STK USD |  | 105.000                                   | 997                   | 1,217             |
| JPMorgan Investor Services                                                                                  |                                          |  | J.P.Morgan                                |                       |                   |

FD491  
SCHEDULE H (FORM 5300 - 4I-1)  
SCHEDULE OF ASSETS HELD FOR  
INVESTMENT PURPOSES AT END OF YEAR

| IDENTITY OF ISSUE, BORROWER, LESSOR                | DESCRIPTION OF INVESTMENT<br>SHARES / PA3 | COST   | CURRENT VALUE |
|----------------------------------------------------|-------------------------------------------|--------|---------------|
| 74112D101 PRESTIGE BRANDS HOLDINGS INC COMMON STOC | 315.000                                   | 6,455  | 11,277        |
| 741511109 PRICESMART INC USD0.0001                 | 102.000                                   | 7,888  | 11,785        |
| 74164F103 PRIMORIS SERVICES CORP COY STK NPV       | 213.000                                   | 3,870  | 6,631         |
| 74443P104 PRIMUS TELECOMMUNICATIONS GROUP INC COMM | 120.000                                   | 1,712  | 342           |
| 742962103 PRIVATEBANCORP INC NPV                   | 2,200.000                                 | 29,838 | 63,646        |
| 743187106 PROGENICS PHARMACEUTICALS INC USD0.0013  | 355.000                                   | 1,259  | 1,892         |
| 743312100 PROGRESS SOFTWARE CORP USD0.01           | 200.000                                   | 4,605  | 5,166         |
| 743424103 PROOFPOINT INC USD0.0001                 | 158.000                                   | 3,433  | 5,241         |
| 74346Y103 PROS HLDGS INC USD0.001                  | 115.000                                   | 2,309  | 4,589         |
| 743713109 PROTO LABS INC USD0.001                  | 145.000                                   | 7,953  | 10,321        |
| 743815102 PROVIDENCE SERVICE CORP USD0.001         | 84.000                                    | 2,040  | 2,160         |
| 69360J107 PS BUSINESS PARKS INC CALIF COM SER'A'US | 172.000                                   | 12,157 | 13,144        |
| 69370C100 PTC INC                                  | 771.000                                   | 18,239 | 27,286        |
| 74587V107 PUMA BIOTECHNOLOGY INC USD0.0001         | 300.000                                   | 19,301 | 31,059        |
| 746228303 PURECYCLE CORP COM USD0.0033             | 100.000                                   | 561    | 633           |
| 74731Q103 PZENA INVESTMENT MANAGEMENT, INC COM STK | 83.000                                    | 440    | 976           |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  | SPX CORPORATION                           | PAGE<br>C 07103<br>56 |                   |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------|--|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
|                                                                                                             |                                          |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 74727D306                                                                                                   | QAD INC USD0.001 A                       |  | 50.000                                    | 672                   | 883               |
| 74733T105                                                                                                   | QLIK TECHNOLOGIES INC COMMON STOCK USD   |  | 627.000                                   | 15,338                | 16,697            |
| 74756M102                                                                                                   | QUALITY DISTRIBUTION INC NPV             |  | 11.000                                    | 113                   | 141               |
| 747582104                                                                                                   | QUALITY SYSTEMS INC USD0.001             |  | 7,674.000                                 | 143,619               | 161,614           |
| 74758T303                                                                                                   | QUALYS INC USD0.001                      |  | 73.000                                    | 1,101                 | 1,687             |
| 747619104                                                                                                   | QUANEX BUILDING PRODUCTS CORP COM STK US |  | 11,590.000                                | 198,971               | 230,873           |
| 74835Y101                                                                                                   | QUESTCOR PHARMACEUTICAL INC NPV          |  | 370.000                                   | 18,337                | 20,147            |
| 74838J101                                                                                                   | QUIDEL CORP VTC USD0.001                 |  | 173.000                                   | 3,139                 | 5,344             |
| 74838C106                                                                                                   | QUIKSILVER INC USD0.01                   |  | 700.000                                   | 4,519                 | 6,139             |
| 750236101                                                                                                   | RADIAN GROUP INC USD0.001                |  | 300.000                                   | 3,491                 | 4,236             |
| 751198102                                                                                                   | RALLY SOFTWARE DEV CORP USD0.0001        |  | 100.000                                   | 3,226                 | 1,945             |
| 750917106                                                                                                   | RAMBUS INC USD0.001                      |  | 721.000                                   | 6,010                 | 6,828             |
| 75382F106                                                                                                   | RAPTOR PHARMACEUTICAL CORP COM STK USD0. |  | 388.000                                   | 2,612                 | 5,052             |
| 754212108                                                                                                   | RAVEN INDUSTRIES INC USD1                |  | 292.000                                   | 9,005                 | 12,013            |
| 755243104                                                                                                   | RBC BEARINGS INC USD0.01                 |  | 107.000                                   | 5,248                 | 7,570             |
| 75525F104                                                                                                   | REACHLOCAL INC USD0.00001                |  | 68.000                                    | 865                   | 864               |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  | SPX CORPORATION                           | PAGE<br>C 07103 57 |               |
|-------------------------------------------------------------------------------------------------------------|--|--|-------------------------------------------|--------------------|---------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST               | CURRENT VALUE |
| 75604L105 REALD INC USD0.0001                                                                               |  |  | 197.000                                   | 1,880              | 1,682         |
| 75606N109 REALPAGE INC USD0.001                                                                             |  |  | 285.000                                   | 6,651              | 6,663         |
| 75689M101 RED ROBIN COURTMET BURGERS INC USD0.001                                                           |  |  | 121.000                                   | 5,277              | 8,898         |
| 758750103 RECAL BELOIT CORP USD0.01                                                                         |  |  | 3,580.000                                 | 241,616            | 263,918       |
| 75902K106 REGIONAL MGMT CORP NPV                                                                            |  |  | 27.000                                    | 477                | 916           |
| 758932107 REGIS CORP USD0.05                                                                                |  |  | 7,130.000                                 | 111,173            | 103,456       |
| 75915K101 REGULUS THERAPEUTICS INC USD0.001                                                                 |  |  | 100.000                                   | 522                | 739           |
| 75936P105 REIS INC USD0.01                                                                                  |  |  | 100.000                                   | 1,851              | 1,923         |
| 75972A301 RENEWABLE ENERGY GROUP INC USD0.0001                                                              |  |  | 52.000                                    | 311                | 596           |
| 760112102 RENTECH INC USD0.01                                                                               |  |  | 1,571.000                                 | 3,694              | 2,749         |
| 760174102 RENTRAK CORP USD0.001                                                                             |  |  | 58.000                                    | 1,112              | 2,198         |
| 759916109 REPLICEN CORP USD0.01                                                                             |  |  | 256.000                                   | 1,498              | 3,492         |
| 76028H209 REPROS THERAPEUTICS INC USD0.001                                                                  |  |  | 191.000                                   | 3,077              | 3,495         |
| 760276105 REPUBLIC AIRWAYS HLDS INC USD0.001                                                                |  |  | 4,923.000                                 | 50,242             | 52,627        |
| 76122Q105 RESOURCES CONNECTION INC USD0.01                                                                  |  |  | 15,960.000                                | 212,745            | 228,707       |
| 761248103 RESPONSYS INC COMMON STOCK EUR 0.0001                                                             |  |  | 242.000                                   | 2,560              | 6,633         |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                   |                    |  | SPX CORPORATION<br>BASE CURRENCY: USD    |         | AS OF<br>DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>58 |  |
|-------------------------------------------------------------------------------------------------------------|-----------------------------------|--------------------|--|------------------------------------------|---------|----------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                   |                    |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE              |  |                       |  |
| 761283100                                                                                                   | RESTORATION HARDWARE HLDGS INC    | USD0.0001          |  | 145.000                                  | 10,284  | 9,759                      |  |                       |  |
| 76155C107                                                                                                   | REVOLUTION LIGHTING TECHNOLOGIES  | USD0.01            |  | 200.000                                  | 803     | 685                        |  |                       |  |
| 761565100                                                                                                   | REX ENERGY CORPORATION            | NPV                |  | 300.000                                  | 5,279   | 5,913                      |  |                       |  |
| 761693102                                                                                                   | REXNORD CORP                      | USD0.01            |  | 165.000                                  | 2,826   | 4,457                      |  |                       |  |
| 749941100                                                                                                   | RF MICRO DEVICES INC              | NPV                |  | 15,202.000                               | 73,137  | 78,442                     |  |                       |  |
| 766582100                                                                                                   | RICNET INC                        | USD0.001           |  | 125.000                                  | 2,211   | 5,991                      |  |                       |  |
| 767744105                                                                                                   | RITCHIE BROS AUCTIONEERS          | COM NPV            |  | 13,875.000                               | 264,585 | 318,154                    |  |                       |  |
| 767754104                                                                                                   | RITE AID CORP                     | USD1               |  | 2,996.000                                | 7,877   | 15,160                     |  |                       |  |
| 76973Q105                                                                                                   | ROADRUNNER TRANSPORTATION SYSTEMS | USD0.0             |  | 113.000                                  | 2,109   | 3,045                      |  |                       |  |
| 774374102                                                                                                   | ROCKWELL MEDICAL INC              | COMMON STOCK USD 0 |  | 81.000                                   | 505     | 846                        |  |                       |  |
| 775133101                                                                                                   | ROGERS CORP                       | CAP STK USD1       |  | 89.000                                   | 3,888   | 5,474                      |  |                       |  |
| 777779307                                                                                                   | ROSETTA RESOURCES INC             | USD0.001           |  | 394.000                                  | 19,081  | 18,928                     |  |                       |  |
| 777780107                                                                                                   | ROSETTA STONE INC                 | USD0.00005         |  | 39.000                                   | 551     | 477                        |  |                       |  |
| 779376102                                                                                                   | ROV- CORP                         | COM                |  | 4,000.000                                | 58,845  | 78,760                     |  |                       |  |
| 74972C103                                                                                                   | RPX CORP                          | USD0.0001          |  | 12.000                                   | 147     | 203                        |  |                       |  |
| 781220108                                                                                                   | RUCKUS WIRELESS INC               | USD0.001           |  | 300.000                                  | 4,019   | 4,260                      |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                   |                    |  | J.P.Morgan                               |         |                            |  |                       |  |

| IDENTITY OF ISSUE, BORROWER, LESSOR                | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST   | CURRENT VALUE |
|----------------------------------------------------|------------------------------------------|--------|---------------|
| 781270103 RUDOPFH TECHNOLOGIES INC USD0.001        | 49.000                                   | 635    | 575           |
| 781846209 RUSH ENTERPRISES INC.- CL. A             | 100.000                                  | 2,477  | 2,965         |
| 783332109 RUTH'S HOSPITALITY GROUP INC USD0.01     | 267.000                                  | 1,791  | 3,794         |
| 783764103 RYLAND GROUP INC USD1                    | 290.000                                  | 10,107 | 12,589        |
| 783777107 RYMAN HOSPITALITY PROPERTIES INC REIT US | 146.000                                  | 5,790  | 6,100         |
| 78573L106 SABRA HEALTH CARE REIT INC USD0.01       | 100.000                                  | 2,613  | 2,614         |
| 786692103 SAGENT PHARMACEUTICALS INC USD0.01       | 147.000                                  | 2,686  | 3,731         |
| 78709Y105 SAIA INC USD0.001                        | 117.000                                  | 3,154  | 3,750         |
| 79970Y105 SANCHEZ ENERGY CORP USD0.01              | 5.000                                    | 100    | 123           |
| 800013104 SANDERSON FARM INC USD1                  | 126.000                                  | 5,604  | 9,114         |
| 800677106 SANCAMO BIOSCIENCES INC USD0.01          | 333.000                                  | 2,185  | 4,625         |
| 802817304 SANTARJS INC COMMON STOCK EUR 0.0001     | 399.000                                  | 3,464  | 12,752        |
| 803062108 SAF-ENT CORP USD0.01                     | 2,647.000                                | 27,740 | 45,952        |
| 803607100 SAREPTA THERAPEUTICS INC USD0.0001       | 200.000                                  | 7,526  | 4,074         |
| 804395101 SAUL CENTERS INC USD0.01                 | 8.000                                    | 360    | 382           |
| 808541106 SCHWEITZER-MAUDUIT INTL INC USD0.10      | 125.000                                  | 4,263  | 6,434         |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |         | SPX CORPORATION    | PAGE<br>C 07103<br>60 |                   |
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| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |         | BASE CURRENCY: USD | AS OF                 | DECEMBER 31, 2013 |
| DESCRIPTION OF INVESTMENT<br>SHARES / PA                                                                    |                                          |  |         | COST               | CURRENT VALUE         |                   |
| 80862K104                                                                                                   | SCICLONE PHARMACEUTICALS NPV             |  | 297.000 | 1,458              | 1,497                 |                   |
| 80874P109                                                                                                   | SCIENTIFIC GAMES CLASS'A'COM USD0.01     |  | 196.000 | 2,078              | 3,318                 |                   |
| 80908T101                                                                                                   | SCIQUEST INC. USD0.001                   |  | 190.000 | 3,528              | 5,411                 |                   |
| 812362101                                                                                                   | SEARS HOMETOWN & OUTLET STORES INC USD0. |  | 47.000  | 2,047              | 1,199                 |                   |
| 81616X103                                                                                                   | SELECT COMFORT CORP USD0.01              |  | 348.000 | 11,300             | 7,339                 |                   |
| 81663A105                                                                                                   | SEMGROUP CORP NPV A                      |  | 300.000 | 16,163             | 19,569                |                   |
| 816850101                                                                                                   | SEMTECH CORP USD0.01                     |  | 484.000 | 12,912             | 12,236                |                   |
| 817337405                                                                                                   | SEQUENOM INC USD0.001                    |  | 795.000 | 3,260              | 1,860                 |                   |
| 81763U100                                                                                                   | SERVICESOURCE INTL INC USD0.0001         |  | 396.000 | 3,822              | 3,318                 |                   |
| 82312B106                                                                                                   | SHENANDOAH TELECOMUNICATIONS USD10       |  | 200.000 | 3,574              | 5,134                 |                   |
| 825211105                                                                                                   | SHORETEL INC USD0.001                    |  | 16.000  | 65                 | 148                   |                   |
| 82568P304                                                                                                   | SHUTTERFLY INC COM STK USD0.0001         |  | 291.000 | 14,631             | 14,821                |                   |
| 825690100                                                                                                   | SHUTTERSTOCK INC USD0.01                 |  | 34.000  | 1,889              | 2,843                 |                   |
| 826917106                                                                                                   | SIGA TECHNOLOGIES INC USD0.0001          |  | 227.000 | 759                | 742                   |                   |
| 82706L108                                                                                                   | SILICON GRAPHICS INTERNATIONAL CORP USD0 |  | 245.000 | 3,231              | 3,285                 |                   |
| 82705T102                                                                                                   | SILICON IMAGE INC USD0.001               |  | 480.000 | 2,456              | 2,952                 |                   |
| JPMorgan Investor Services                                                                                  |                                          |  |         | J.P.Morgan         |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                          |  |  | SPX CORPORATION                           | AS OF   |               | PAGE<br>C 07103    | 61 |
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| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                          |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA3 | COST    | CURRENT VALUE | BASE CURRENCY: USD |    |
| 82817Q103                                                                                                   | SILVER SPRING NETWORKS INC USD0.001      |  |  | 100.000                                   | 1,650   | 2,100         |                    |    |
| 829073105                                                                                                   | SIMPSON MFG CO INC USD0.01               |  |  | 6,268.000                                 | 183,619 | 230,224       |                    |    |
| 829226109                                                                                                   | SINCLAIR BROADCAST GROUP INC USD0.01 A   |  |  | 509.000                                   | 14,432  | 18,187        |                    |    |
| 784305104                                                                                                   | SJM CORP USD1.042                        |  |  | 15.000                                    | 377     | 447           |                    |    |
| 83066R107                                                                                                   | SKILLED HEALTHCARE GROUP USD0.001 A      |  |  | 169.000                                   | 1,135   | 813           |                    |    |
| 831756101                                                                                                   | SMITH & WESSON HLDGS CORP USD0.001       |  |  | 480.000                                   | 5,208   | 6,475         |                    |    |
| 833551104                                                                                                   | SNYDER'S-LANCE INC COMMON STOCK USD 0.83 |  |  | 74.000                                    | 1,832   | 2,125         |                    |    |
| 83415T101                                                                                                   | SOLAZYME INC USD0.001                    |  |  | 362.000                                   | 4,130   | 3,942         |                    |    |
| 83545C102                                                                                                   | SONIC AUTOMOTIVE INC USD0.01 A           |  |  | 100.000                                   | 2,116   | 2,448         |                    |    |
| 835451105                                                                                                   | SONIC CORP USD0.01                       |  |  | 342.000                                   | 3,463   | 6,905         |                    |    |
| 835916107                                                                                                   | SONUS NETWORKS INC USD0.001              |  |  | 121.000                                   | 245     | 381           |                    |    |
| 835898107                                                                                                   | SOTHEBYS INC LTD VTC USD0.10 A           |  |  | 453.000                                   | 16,607  | 24,100        |                    |    |
| 838518108                                                                                                   | SOUTH JERSEY INDUSTRIES INC USD1.25      |  |  | 82.000                                    | 4,272   | 4,589         |                    |    |
| 84610H108                                                                                                   | SOVRAN SELF STORAGE INC USD0.01          |  |  | 161.000                                   | 9,349   | 10,492        |                    |    |
| 78469C103                                                                                                   | SP PLUS CORP COMMON STOCK USD 0.001      |  |  | 113.000                                   | 2,710   | 2,943         |                    |    |
| 84651P100                                                                                                   | SPARK NETWORKS INC USD0.001              |  |  | 102.000                                   | 601     | 628           |                    |    |
| JPMorgan Investor Services                                                                                  |                                          |  |  | J.P.Morgan                                |         |               |                    |    |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                     |  |  | SPX CORPORATION                           | PAGE<br>C 07103 | 62                |
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| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                     |  |  | BASE CURRENCY: USD                        | AS OF           | DECEMBER 31, 2013 |
|                                                                                                             |                                     |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST            | CURRENT VALUE     |
| 84760C107                                                                                                   | SPECTRANETICS CORP USD0.001         |  |  | 241.000                                   | 3,470           | 6,025             |
| 84763R101                                                                                                   | SPECTRJM BRANDS HLDCS INC USD0.01   |  |  | 161.000                                   | 6,807           | 11,359            |
| 848577102                                                                                                   | SPIRIT AIRLINES INC USD0.0001       |  |  | 445.000                                   | 9,198           | 20,207            |
| 851990556                                                                                                   | SPRUCEGROVE INTERNATIONAL EQUITIES  |  |  | 280,582.250                               | 7,040,727       | 16,992,987        |
| 78463M107                                                                                                   | SPS COMMERCE INC USD0.001           |  |  | 88.000                                    | 3,412           | 5,746             |
| 78467J100                                                                                                   | SS&C TECHNOLOGIES HLDCS INC USD0.01 |  |  | 345.000                                   | 10,905          | 15,270            |
| 852312305                                                                                                   | STAAR SURGICAL CO USD0.01           |  |  | 257.000                                   | 1,883           | 4,161             |
| 85254C305                                                                                                   | STACE STORES INC USD0.01            |  |  | 7,060.000                                 | 147,917         | 156,873           |
| 852857200                                                                                                   | STAMPS.COM, INC                     |  |  | 73.000                                    | 1,670           | 3,073             |
| 853666105                                                                                                   | STANDARD MOTOR PRODUCTS INC USD2    |  |  | 100.000                                   | 3,436           | 3,680             |
| 85517P101                                                                                                   | STAR SCIENTIFIC USD0.0001           |  |  | 1,140.000                                 | 4,426           | 1,322             |
| 858155203                                                                                                   | STEELCASE INC NPV                   |  |  | 77.000                                    | 771             | 1,221             |
| 858375108                                                                                                   | STEIN MART USD0.01                  |  |  | 100.000                                   | 1,367           | 1,345             |
| P8744Y102                                                                                                   | STEINER LEISURE USD0.01             |  |  | 20.000                                    | 971             | 984               |
| 85858C107                                                                                                   | STEMLINE THERAPEUTICS INC USD0.0001 |  |  | 100.000                                   | 2,386           | 1,960             |
| 858586100                                                                                                   | STEPAN CO USD1                      |  |  | 94.000                                    | 4,744           | 6,169             |
| JPMorgan Investor Services                                                                                  |                                     |  |  |                                           |                 |                   |
| J.P.Morgan                                                                                                  |                                     |  |  |                                           |                 |                   |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  | SPX CORPORATION                           | PAGE<br>C 07103 63 |               |
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| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST               | CURRENT VALUE |
| 859152100 STERIS CORP NPV                                                                                   |  |  | 3,534.000                                 | 115,544            | 169,809       |
| 860630102 STIFEL FINANCIAL CORP USD0.15                                                                     |  |  | 1,700.000                                 | 71,758             | 81,464        |
| 86183P102 STONERIDGE INC NPV                                                                                |  |  | 200.000                                   | 2,331              | 2,550         |
| 862378101 STRAIGHT PATH COMMUNICATIONS INC COMMON 0.01                                                      |  |  | 86.000                                    | 259                | 704           |
| 86272T106 STRATEGIC HOTELS & RESORTS INC USD0.01                                                            |  |  | 996.000                                   | 6,506              | 9,412         |
| 863236105 STRAYER EDUCATION INC USD0.01                                                                     |  |  | 83.000                                    | 5,587              | 2,861         |
| 864159108 STURM RUGER & CO INC USD1                                                                         |  |  | 124.000                                   | 6,299              | 9,063         |
| 864909106 SUCAMPO PHARMACEUTICALS INC USD0.01 A                                                             |  |  | 100.000                                   | 479                | 940           |
| 866082100 SUMMIT HOTEL PROPERTIES INC USD0.01                                                               |  |  | 15,310.000                                | 139,602            | 137,790       |
| 866674104 SUN COMMUNITIES INC USD0.01                                                                       |  |  | 227.000                                   | 10,315             | 9,679         |
| 866942105 SUN HYDRAULICS INC USD0.001                                                                       |  |  | 167.000                                   | 4,494              | 6,819         |
| 86732Y109 SUNECON INC USD0.01                                                                               |  |  | 1,544.000                                 | 10,797             | 20,149        |
| 867328601 SUNESIS PHARMACEUTICALS INC USD0.0001                                                             |  |  | 240.000                                   | 1,127              | 1,138         |
| 867652406 SUNPOWER CORP COM                                                                                 |  |  | 300.000                                   | 4,036              | 8,943         |
| 868459108 SUPERNJS PHARMACEUTICALS INC USD0.001                                                             |  |  | 100.000                                   | 645                | 754           |
| 868536103 SUPERVALU INC USD0.01                                                                             |  |  | 1,035.000                                 | 2,465              | 7,545         |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |  | SPX CORPORATION                           | PAGE<br>C 07103<br>64 |               |
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| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE |
| 86858W101 SUPPORT.COM INC                                                                                   |  |  | 318.000                                   | 1,436                 | 1,205         |
| 868873100 SURMODICS INC USD0.05                                                                             |  |  | 91.000                                    | 1,827                 | 2,219         |
| 869099101 SUSQUEHANNA BANCARE USD2                                                                          |  |  | 17,240.000                                | 215,145               | 221,362       |
| 869233106 SUSSEX HLDS CORP NPV                                                                              |  |  | 171.000                                   | 7,863                 | 11,199        |
| 87074U101 SUIFT TRANSPORTATION CO INC USD0.01 CL A                                                          |  |  | 540.000                                   | 4,297                 | 11,993        |
| 78503N107 SWS GROUP INC USD0.10                                                                             |  |  | 5,600.000                                 | 50,560                | 34,048        |
| 871237103 SYKES ENTERPRISES INC USD0.01                                                                     |  |  | 4,400.000                                 | 78,234                | 95,964        |
| 87159A103 SYNAGEVA BIOPHARMA CORP USD0.001                                                                  |  |  | 117.000                                   | 5,942                 | 7,572         |
| 87157D109 SYNAPTICS INC COMMON STOCK USD 0.001                                                              |  |  | 222.000                                   | 5,989                 | 11,502        |
| 87157B103 SYNCHRONOSS TECHNOLOGIES INC USD0.0001                                                            |  |  | 257.000                                   | 7,540                 | 7,985         |
| 871639308 SYNERGY PHARMACEUTICALS INC USD0.0001                                                             |  |  | 583.000                                   | 2,705                 | 3,282         |
| 87164P103 SYNERGY RESOURCES CORP USD0.001                                                                   |  |  | 359.000                                   | 2,615                 | 3,324         |
| 87162T206 SYNTA PHARMACEUTICALS CORP USD0.0001                                                              |  |  | 278.000                                   | 2,248                 | 1,457         |
| 87162H103 SYNTEL INC NPV                                                                                    |  |  | 118.000                                   | 7,257                 | 10,732        |
| 87164C102 SYNUTRA INTERNATIONAL INC NPV                                                                     |  |  | 156.000                                   | 815                   | 1,385         |
| 874054109 TAKE TWO INTERACTIVE SOFTWARE INC USD0.0                                                          |  |  | 519.000                                   | 5,785                 | 9,015         |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                   |  | SPX CORPORATION                           | PAGE<br>C 07103<br>65 |                   |
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|                                                                                                             |                                   |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| 874083108                                                                                                   | TAL INTERNATIONAL GROUP USD0.001  |  | 102.000                                   | 3,196                 | 5,850             |
| 875090106                                                                                                   | TAMINCO CORP USD0.001             |  | 100.000                                   | 2,041                 | 2,021             |
| 87582Y108                                                                                                   | TANCOE INC USD0.0001              |  | 213.000                                   | 2,932                 | 3,836             |
| 87612C101                                                                                                   | TARCA RESOURCES CORP USD0.001     |  | 259.000                                   | 13,176                | 22,836            |
| 87651B104                                                                                                   | TASER INTERNATIONAL INC NPV       |  | 395.000                                   | 2,412                 | 6,273             |
| 87817A107                                                                                                   | TEAM HEALTH HLDGS INC USD0.01     |  | 1,679.000                                 | 38,602                | 76,478            |
| 878155100                                                                                                   | TEAM INC USD0.30                  |  | 139.000                                   | 4,623                 | 5,885             |
| 878193101                                                                                                   | TEARLAB CORP USD0.001             |  | 200.000                                   | 2,127                 | 1,868             |
| 878377100                                                                                                   | TECHNE CORP USD0.01               |  | 1,030.000                                 | 78,548                | 97,510            |
| 879080109                                                                                                   | TEJON RANCH CO USD0.50            |  | 62.000                                    | 1,899                 | 2,279             |
| 879360105                                                                                                   | TELEDYNE TECHNOLOGIES INC USD0.01 |  | 101.000                                   | 6,541                 | 9,278             |
| 879939106                                                                                                   | TELETECH HLDGS USD0.01            |  | 100.000                                   | 2,345                 | 2,394             |
| 880345103                                                                                                   | TENNANT CO USD0.375               |  | 117.000                                   | 5,119                 | 7,934             |
| 880349105                                                                                                   | TENNECO INC USD0.01               |  | 387.000                                   | 11,944                | 21,893            |
| 881569107                                                                                                   | TESARO INC USD0.0001              |  | 122.000                                   | 3,255                 | 3,445             |
| 88164L100                                                                                                   | TESSERA TECHNOLOGIES INC USD0.01  |  | 15,890.000                                | 271,859               | 313,192           |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                         |  |  | SPX CORPORATION                           | PAGE<br>C 07103 | 66                |
|-------------------------------------------------------------------------------------------------------------|-----------------------------------------|--|--|-------------------------------------------|-----------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                         |  |  | BASE CURRENCY: USD                        | AS OF           | DECEMBER 31, 2013 |
|                                                                                                             |                                         |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST            | CURRENT VALUE     |
| 88162C103                                                                                                   | TETRA TECH INC USD0.01                  |  |  | 2,325.000                                 | 54,113          | 65,054            |
| 88165N105                                                                                                   | TETRAPHASE PHARMACEUTICALS INC USD0.001 |  |  | 100.000                                   | 705             | 1,352             |
| 882491103                                                                                                   | TEXAS INDUSTRIES INC USD1               |  |  | 129.000                                   | 8,407           | 8,873             |
| 882681109                                                                                                   | TEXAS ROADHOUSE COM STK CL'A' USD0.001  |  |  | 2,301.000                                 | 54,998          | 63,968            |
| C8766E109                                                                                                   | TEXTAINER GROUP HLDGS LTD USD0.01       |  |  | 84.000                                    | 2,699           | 3,378             |
| 88322Q108                                                                                                   | TC THERAPEUTICS INC USD0.001            |  |  | 139.000                                   | 866             | 542               |
| 872417308                                                                                                   | TGC INDUSTRIES INC USD0.01              |  |  | 103.000                                   | 672             | 752               |
| 88338N107                                                                                                   | THERAPEUTICSMD INC USD0.10              |  |  | 500.000                                   | 1,523           | 2,605             |
| 88362T103                                                                                                   | THERMON GROUP HLDGS USD0.001            |  |  | 204.000                                   | 4,782           | 5,575             |
| 885175307                                                                                                   | THORATEC CORP NPV                       |  |  | 400.000                                   | 12,530          | 14,640            |
| 885807206                                                                                                   | THRESHOLD PHARMACEUTICALS INC USD0.001  |  |  | 285.000                                   | 2,014           | 1,331             |
| 886423102                                                                                                   | TIDEWATER INC USD0.10                   |  |  | 3,975.000                                 | 181,224         | 235,598           |
| 88677Q109                                                                                                   | TILE SHOP HLDGS INC USD0.0001           |  |  | 100.000                                   | 2,898           | 1,807             |
| 886885102                                                                                                   | TILLYS INC USD0.001 A                   |  |  | 42.000                                    | 748             | 481               |
| 88830M102                                                                                                   | TITAN INTL INC USD1                     |  |  | 264.000                                   | 5,409           | 4,747             |
| 888706108                                                                                                   | TIVO INC USD0.001                       |  |  | 390.000                                   | 3,843           | 5,117             |

J.P.Morgan

JPMorgan Investor Services

FD491

SCHEDULE H (FORM 5500 - 4I-1)

SCHEDULE OF ASSETS HELD FOR

INVESTMENT PURPOSES AT END OF YEAR

SPX CORPORATION

BASE CURRENCY: USD

AS OF DECEMBER 31, 2013

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| IDENTITY OF ISSUE, BORROWER, LESSOR                | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST    | CURRENT VALUE |
|----------------------------------------------------|------------------------------------------|---------|---------------|
| 890516107 TOOTSIE ROLL INDUSTRIES INC USD0.694     | 142.610                                  | 3,696   | 4,641         |
| C8988C105 TOWER GROUP INTL LTD USD1                | 58.000                                   | 987     | 196           |
| 891826109 TOWER INTL INC USD0.01                   | 52.000                                   | 419     | 1,113         |
| 892000100 TOWERSTREAM CORP USD0.001                | 341.000                                  | 1,228   | 1,009         |
| 89421Q205 TRAVELZOO INC COMMON STOCK USD 0.01      | 88.000                                   | 2,115   | 1,876         |
| 894650100 TREDECAR CORP COM NPV                    | 100.000                                  | 2,572   | 2,881         |
| 89469A104 TREEHOUSE FOODS INC COM STK USD0.01      | 211.000                                  | 10,742  | 14,542        |
| 89531P105 TREX COMPANY USD0.01                     | 1,049.000                                | 52,006  | 83,427        |
| 89600B201 TRIANGLE PETROLEUM CORP USD0.00001       | 126.000                                  | 971     | 1,048         |
| 896215209 TRIMAS CORP USD0.01                      | 314.000                                  | 8,106   | 12,525        |
| 89674K103 TRIQUINT SEMI CONDUCTOR INC USD0.001     | 100.000                                  | 695     | 834           |
| 8966CVR990 TRIUS THERAPEUTICS INC COMMON STOCK USD | 231.000                                  | 1,244   | 0             |
| Q9235V101 TRONOX LTD COM USD0.01 CL 'A'            | 12,170.000                               | 229,363 | 280,762       |
| 89785X101 TRUEELJE INC NPV                         | 231.000                                  | 4,167   | 5,955         |
| 897888103 TRULIA INC USD0.000033                   | 168.000                                  | 4,672   | 5,925         |
| C9108L108 TSAKOS ENERGY NAVIGATION USD1            | 13,600.000                               | 185,691 | 81,736        |

## Schedule I

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |  |                                           |  | SPX CORPORATION<br>BASE CURRENCY: USD |  | PAGE<br>C 07103 |  | 68 |  |
|-------------------------------------------------------------------------------------------------------------|--|-------------------------------------------|--|---------------------------------------|--|-----------------|--|----|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAR |  | COST                                  |  | CURRENT VALUE   |  |    |  |
| 89969Q104 TUMI HLDGS INC USD0.01                                                                            |  | 288.000                                   |  | 7,043                                 |  | 6,494           |  |    |  |
| 902252105 TYLER TECHNOLOGIES INC USD0.01                                                                    |  | 229.000                                   |  | 9,619                                 |  | 23,388          |  |    |  |
| 90333L201 U S CONCRETE INC COM NEW                                                                          |  | 100.000                                   |  | 1,723                                 |  | 2,263           |  |    |  |
| 90347A100 UBIQUITI NETWORKS INC USD0.001                                                                    |  | 76.000                                    |  | 1,443                                 |  | 3,493           |  |    |  |
| 902748102 UIL HOLDINGS CORP NEW                                                                             |  | 7,085.000                                 |  | 262,998                               |  | 274,544         |  |    |  |
| 90385D107 ULTIMATE SOFTWARE GROUP INC/THE COMMON S                                                          |  | 0.01                                      |  | 22,912                                |  | 35,087          |  |    |  |
| 904034105 ULTRA TECH INC                                                                                    |  | 210.000                                   |  | 7,087                                 |  | 6,090           |  |    |  |
| 902788108 UMB FINANCIAL CORP USD12.50                                                                       |  | 1,760.000                                 |  | 78,132                                |  | 113,133         |  |    |  |
| 904572203 UNI-PIXEL INC USD0.001                                                                            |  | 100.000                                   |  | 1,473                                 |  | 1,001           |  |    |  |
| 904708104 UNIFIRST CORP USD0.10                                                                             |  | 100.000                                   |  | 9,127                                 |  | 10,700          |  |    |  |
| 90478E103 UNILIFE CORP USD0.01                                                                              |  | 648.000                                   |  | 1,998                                 |  | 2,851           |  |    |  |
| 909214306 UNISYS CORP USD0.01                                                                               |  | 30.000                                    |  | 678                                   |  | 1,007           |  |    |  |
| 911163103 UNITED NATURAL FOODS INC USD0.01                                                                  |  | 375.000                                   |  | 22,285                                |  | 28,271          |  |    |  |
| 913456109 UNIVERSAL CORP NPV                                                                                |  | 5,100.000                                 |  | 259,317                               |  | 278,460         |  |    |  |
| 91347P105 UNIVERSAL DISPLAY CORP USD0.01                                                                    |  | 287.000                                   |  | 12,003                                |  | 9,861           |  |    |  |
| 91359E105 UNIVERSAL HLTH RLT SHS BEN INT USD0.01                                                            |  | 101.000                                   |  | 4,552                                 |  | 4,046           |  |    |  |
| JPMorgan Investor Services                                                                                  |  |                                           |  |                                       |  |                 |  |    |  |
| J.P.Morgan                                                                                                  |  |                                           |  |                                       |  |                 |  |    |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                           |  | SPX CORPORATION                            |  | PAGE<br>C 07103 |  | 69                |  |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------|--|--------------------------------------------|--|-----------------|--|-------------------|--|
|                                                                                                             |                                           |  | BASE CURRENCY: USD                         |  | AS OF           |  | DECEMBER 31, 2013 |  |
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                           |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAID |  | COST            |  | CURRENT VALUE     |  |
| 91531F103                                                                                                   | UNWEATHERED PLANET INC USD0.001           |  | 823.000                                    |  | 1,493           |  | 1,136             |  |
| 916896103                                                                                                   | URANIUM ENERGY CORP USD0.001              |  | 547.000                                    |  | 1,403           |  | 1,094             |  |
| 917286205                                                                                                   | URSTADT BIDDLE PROPERTIES CLASS 'A' COM N |  | 113.000                                    |  | 2,275           |  | 2,085             |  |
| 91732J102                                                                                                   | US ECOLOGY INC USD0.01                    |  | 103.000                                    |  | 2,370           |  | 3,831             |  |
| 90337L108                                                                                                   | US PHYSICAL THERAPY USD0.01               |  | 110.000                                    |  | 2,972           |  | 3,879             |  |
| 90346E103                                                                                                   | US SILICA HLDGS INC USD0.01               |  | 110.000                                    |  | 1,907           |  | 3,752             |  |
| 90328M107                                                                                                   | USANA INC NPV                             |  | 57.000                                     |  | 2,699           |  | 4,308             |  |
| 903293405                                                                                                   | USC CORP USD0.10                          |  | 517.000                                    |  | 11,900          |  | 14,672            |  |
| C87210103                                                                                                   | UTI WORLDWIDE INC ORD NPV                 |  | 400.000                                    |  | 6,594           |  | 7,024             |  |
| 91851C201                                                                                                   | VAALCO ENERGY USD0.10                     |  | 177.000                                    |  | 1,643           |  | 1,220             |  |
| 91879Q109                                                                                                   | VAIL RESORTS INC USD0.01                  |  | 249.000                                    |  | 14,823          |  | 18,732            |  |
| 92046N102                                                                                                   | VALUECLICK INC USD0.001                   |  | 535.000                                    |  | 10,669          |  | 12,503            |  |
| 92047K107                                                                                                   | VALUEVISION MEDIA INC. CLASS A            |  | 200.000                                    |  | 1,025           |  | 1,398             |  |
| 921659108                                                                                                   | VANDA PHARMACEUTICALS INC USD0.001        |  | 244.000                                    |  | 1,249           |  | 3,028             |  |
| 92230Y104                                                                                                   | VASCO DATA SECURITY INTERNATIONAL USD0.0  |  | 134.000                                    |  | 1,293           |  | 1,036             |  |
| 92231M109                                                                                                   | VASCULAR SOLUTIONS INC USD0.01            |  | 130.000                                    |  | 1,712           |  | 3,010             |  |
| JPMorgan Investor Services                                                                                  |                                           |  | J.P.Morgan                                 |  |                 |  |                   |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                |                        |                                          | SPX CORPORATION<br>BASE CURRENCY: USD |               | PAGE<br>C 07103<br>AS OF DECEMBER 31, 2013 |  | 70 |
|-------------------------------------------------------------------------------------------------------------|--------------------------------|------------------------|------------------------------------------|---------------------------------------|---------------|--------------------------------------------|--|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                |                        | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                                  | CURRENT VALUE |                                            |  |    |
| 918194101                                                                                                   | VCA ANTECH INC                 | USD0.01                | 2,200.000                                | 47,865                                | 68,992        |                                            |  |    |
| 92240M108                                                                                                   | VECTOR GROUP                   | USD0.1                 | 550.000                                  | 8,885                                 | 9,004         |                                            |  |    |
| 922417100                                                                                                   | VEECO FEI INCCOM               | USD0.01                | 74.000                                   | 2,680                                 | 2,435         |                                            |  |    |
| 92335C106                                                                                                   | VERA BRADLEY INC               | NFV                    | 168.000                                  | 4,008                                 | 4,039         |                                            |  |    |
| 92337C104                                                                                                   | VERASTEM INC                   | USD0.0001              | 166.000                                  | 1,994                                 | 1,892         |                                            |  |    |
| 92342Y109                                                                                                   | VERIFONE SYSTEMS INC           |                        | 3,300.000                                | 60,074                                | 88,506        |                                            |  |    |
| 92343X100                                                                                                   | VERINT SYSTEMS INC             | USD0.001               | 376.290                                  | 11,042                                | 16,158        |                                            |  |    |
| 92552V100                                                                                                   | VIASAT INC                     | USD0.01                | 333.000                                  | 15,975                                | 20,862        |                                            |  |    |
| 925602104                                                                                                   | VICAL INC                      | USD0.01                | 432.000                                  | 1,804                                 | 510           |                                            |  |    |
| 92823T108                                                                                                   | VIRNETX HLDGS CORP             | USD0.01                | 258.000                                  | 7,596                                 | 5,008         |                                            |  |    |
| 928241108                                                                                                   | VIROPHARMA INC                 | COMMON STOCK EUR 0.002 | 800.000                                  | 30,505                                | 39,880        |                                            |  |    |
| 92828Q109                                                                                                   | VIRTUS INVESTMENT PARTNERS INC | USD0.01                | 50.000                                   | 6,911                                 | 10,003        |                                            |  |    |
| 92827P102                                                                                                   | VIRTUSA CORP                   | USD0.01                | 107.000                                  | 1,941                                 | 4,076         |                                            |  |    |
| 928298108                                                                                                   | VISHAY INTL                    | USD0.10                | 8,000.000                                | 68,516                                | 106,080       |                                            |  |    |
| N933540107                                                                                                  | VISTAPRINT NV                  | EUR0.01                | 231.000                                  | 8,639                                 | 13,132        |                                            |  |    |
| 92847A200                                                                                                   | VITACOST.COM INC               | NFV                    | 182.000                                  | 1,227                                 | 1,054         |                                            |  |    |
| JPMorgan Investor Services                                                                                  |                                |                        |                                          |                                       |               |                                            |  |    |
| J.P.Morgan                                                                                                  |                                |                        |                                          |                                       |               |                                            |  |    |

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| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                     |           |         | SPX CORPORATION                           | PAGE<br>C 07103<br>71 |                   |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------|---------|-------------------------------------------|-----------------------|-------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                     |           |         | DESCRIPTION OF INVESTMENT<br>SHARES / PAR | COST                  | CURRENT VALUE     |
| INVESTMENT PURPOSES AT END OF YEAR                                                                          |                                     |           |         | BASE CURRENCY: USD                        | AS OF                 | DECEMBER 31, 2013 |
| 92849E101                                                                                                   | VITAMIN SHOPPE INC (DEL)            | USD0.01   |         | 202.000                                   | 11,705                | 10,506            |
| 928551100                                                                                                   | VIVUS INC NPV                       |           |         | 5,024.000                                 | 57,551                | 45,618            |
| 92857F107                                                                                                   | VOCERA COMMUNICATIONS INC           | USD0.0003 |         | 174.000                                   | 3,199                 | 2,716             |
| 928645100                                                                                                   | VOLCANO CORPORATION                 | USD0.001  |         | 372.000                                   | 10,301                | 8,128             |
| 92911N104                                                                                                   | VRINCO INC                          | USD0.01   |         | 100.000                                   | 318                   | 296               |
| 930427109                                                                                                   | WACEWORKS INC                       | USD0.001  |         | 226.000                                   | 8,951                 | 13,433            |
| 93148P102                                                                                                   | WALKER & DUNLOP INC                 | USD0.01   |         | 5,000.000                                 | 70,335                | 80,850            |
| 93317Q105                                                                                                   | WALTER ENERGY INC                   | USD0.01   |         | 200.000                                   | 2,083                 | 3,326             |
| 938824109                                                                                                   | WASHINGTON FEDERAL INC              | USD1      |         | 5,230.000                                 | 112,922               | 121,807           |
| 939653101                                                                                                   | WASHINGTON REAL ESTATE INVEST TRUST | SHS       | USD0.01 | 3,355.000                                 | 97,125                | 78,373            |
| 942622200                                                                                                   | WATSCO INC                          | USD0.50 A |         | 164.000                                   | 12,796                | 15,754            |
| 943315101                                                                                                   | WAUSAU PAPER CORP NPV               |           |         | 340.000                                   | 3,172                 | 4,311             |
| 929236107                                                                                                   | WD-40 CO NPV                        |           |         | 104.000                                   | 5,478                 | 7,767             |
| 94733A104                                                                                                   | WEB.COM GROUP INC                   |           |         | 262.000                                   | 4,898                 | 8,329             |
| 94770V102                                                                                                   | WEBMD HEALTH CORP                   | USD0.01   |         | 200.000                                   | 5,877                 | 7,900             |
| 950755108                                                                                                   | WERNER ENTERPRISES INC              | USD0.01   |         | 46.000                                    | 992                   | 1,138             |
| JPMorgan Investor Services                                                                                  |                                     |           |         | J.P.Morgan                                |                       |                   |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                  |            |                                          | SPX CORPORATION<br>BASE CURRENCY: USD |               | AS OF DECEMBER 31, 2013 |  | PAGE<br>C 07103<br>72 |  |
|-------------------------------------------------------------------------------------------------------------|----------------------------------|------------|------------------------------------------|---------------------------------------|---------------|-------------------------|--|-----------------------|--|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                  |            | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST                                  | CURRENT VALUE |                         |  |                       |  |
| 950814103                                                                                                   | WESCO AIRCRAFT HLDGS INC         | USD0.001   | 34.000                                   | 569                                   | 745           |                         |  |                       |  |
| 952355204                                                                                                   | WEST CORP                        | USD0.001   | 100.000                                  | 2,216                                 | 2,571         |                         |  |                       |  |
| 955306105                                                                                                   | WEST PHARMACEUTICAL SERVICES INC | USD0.25    | 378.000                                  | 10,739                                | 18,545        |                         |  |                       |  |
| 957090103                                                                                                   | WESTAMERICA BANCORP NPV          |            | 4,085.000                                | 179,101                               | 230,639       |                         |  |                       |  |
| 959319104                                                                                                   | WESTERN REFINING INC             | USD0.01    | 4,107.000                                | 119,583                               | 174,178       |                         |  |                       |  |
| 961765104                                                                                                   | WESTWOOD HOLDINGS GROUP INC      | USD0.01    | 75.000                                   | 2,836                                 | 4,643         |                         |  |                       |  |
| 961840105                                                                                                   | WET SEAL INC CLASS'A             | USD0.10    | 600.000                                  | 2,835                                 | 1,638         |                         |  |                       |  |
| 96208T104                                                                                                   | WEX INC                          | USD0.01    | 303.000                                  | 21,648                                | 30,006        |                         |  |                       |  |
| 974637100                                                                                                   | WINNEBAGO INDUSTRIES INC         | USD0.50    | 216.000                                  | 3,973                                 | 5,929         |                         |  |                       |  |
| 97717P104                                                                                                   | WISDOMTREE INVTS INC             |            | 652.000                                  | 5,691                                 | 11,547        |                         |  |                       |  |
| 978097103                                                                                                   | WOLVERINE WORLD WIDE INC         | USD1       | 652.000                                  | 14,536                                | 22,142        |                         |  |                       |  |
| 980745103                                                                                                   | WOODWARD INC                     | USD0.00875 | 492.000                                  | 17,995                                | 22,440        |                         |  |                       |  |
| 981419104                                                                                                   | WORLD ACCEPTANCE CORP NPV        |            | 65.000                                   | 4,947                                 | 5,689         |                         |  |                       |  |
| 981811102                                                                                                   | WORTHINGTON INDUSTRIES INC       | NPV        | 400.000                                  | 12,690                                | 16,832        |                         |  |                       |  |
| 98411C100                                                                                                   | XENOPORT INC                     | USD1       | 73.000                                   | 770                                   | 420           |                         |  |                       |  |
| 98416J118                                                                                                   | XERUM TECHNOLOGIES INC           | USD0.001   | 100.000                                  | 1,020                                 | 1,649         |                         |  |                       |  |
| JPMorgan Investor Services                                                                                  |                                  |            |                                          |                                       |               | J.P.Morgan              |  |                       |  |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                |  |  | SPX CORPORATION<br>BASE CURRENCY: USD      |       | PAGE<br>C 07103<br>73 |                         |
|-------------------------------------------------------------------------------------------------------------|--------------------------------|--|--|--------------------------------------------|-------|-----------------------|-------------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                                |  |  | DESCRIPTION OF INVESTMENT<br>SHARES / PAID | COST  | CURRENT VALUE         | AS OF DECEMBER 31, 2013 |
| 983772104                                                                                                   | XO GROUP INC                   |  |  | 190.000                                    | 1,609 | 2,823                 |                         |
| 98419J107                                                                                                   | XOMA CORP USD0.0005            |  |  | 383.000                                    | 1,405 | 2,578                 |                         |
| 98419Q101                                                                                                   | XOOM CORP USD0.0001            |  |  | 63.000                                     | 1,440 | 1,724                 |                         |
| 983793100                                                                                                   | XPO LOGISTICS INC COM          |  |  | 65.000                                     | 1,010 | 1,709                 |                         |
| 985817105                                                                                                   | YELP INC USD0.000001           |  |  | 177.000                                    | 5,778 | 12,204                |                         |
| 987184108                                                                                                   | YORK WATER CO COM              |  |  | 54.000                                     | 978   | 1,130                 |                         |
| 98886K108                                                                                                   | ZAIS FINANCIAL CORP USD0.0001  |  |  | 36.000                                     | 656   | 577                   |                         |
| 98919T100                                                                                                   | ZAZA ENERGY CORP USD0.01       |  |  | 100.000                                    | 322   | 96                    |                         |
| 98933Q108                                                                                                   | ZELTIQ AESTHETICS INC USD0.001 |  |  | 168.000                                    | 1,002 | 3,177                 |                         |
| 98944B108                                                                                                   | ZEP INC USD0.01                |  |  | 42.000                                     | 588   | 763                   |                         |
| 98954A107                                                                                                   | ZILLOW INC USD0.0001           |  |  | 144.000                                    | 8,807 | 11,769                |                         |
| 98973P101                                                                                                   | ZIOPHARM ONCOLOGY INC NFV      |  |  | 425.000                                    | 2,430 | 1,845                 |                         |
| 98974P100                                                                                                   | ZIX CORPORATION                |  |  | 407.000                                    | 1,158 | 1,856                 |                         |
| 98978L105                                                                                                   | ZOCENIX INC USD0.001           |  |  | 537.000                                    | 1,298 | 1,847                 |                         |
| 989817101                                                                                                   | ZUMIEZ INC NFV                 |  |  | 119.000                                    | 3,320 | 3,094                 |                         |
| 68243Q106                                                                                                   | 1-800-FLOWERS.COM INC USD0.01  |  |  | 142.000                                    | 792   | 768                   |                         |
| JPMorgan Investor Services                                                                                  |                                |  |  |                                            |       |                       |                         |
|                                                                                                             |                                |  |  | J.P.Morgan                                 |       |                       |                         |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                               |                    |  | SPX CORPORATION<br>BASE CURRENCY: USD    |            | PAGE<br>C 07103<br>74 |                         |
|-------------------------------------------------------------------------------------------------------------|-------------------------------|--------------------|--|------------------------------------------|------------|-----------------------|-------------------------|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         |                               |                    |  | DESCRIPTION OF INVESTMENT<br>SHARES / PA | COST       | CURRENT VALUE         | AS OF DECEMBER 31, 2013 |
| 282914100                                                                                                   | 8X8 INC                       | USD0.001           |  | 441.000                                  | 2,818      | 4,481                 |                         |
| 002990976                                                                                                   | ABBOTT CAP PRIVATE EQ         | FD II L P          |  | 1,000.000                                | 2,860,699  | 257,193               |                         |
| 409990983                                                                                                   | HARBOUR VEST PTRS             | V DIRECT FD L P    |  | 1,000.000                                | 3,637,283  | 31,702                |                         |
| 409990975                                                                                                   | HARBOURVEST PARTNERS          | V PARTNERSHIP FD L |  | 1,000.000                                | 4,004,425  | 406,118               |                         |
| 949996987                                                                                                   | BLACKROCK DOMICILED MONEY MKT | FUND               |  | 478.000                                  | 478        | 478                   |                         |
| 107993651                                                                                                   | BRIDGEWATER ALL WEATHER       | FUND               |  | 34,362.300                               | 35,716,035 | 51,053,458            |                         |
| 895991905                                                                                                   | JPMCS EXTENDED DURATION       | FUND               |  | 2,178,011.610                            | 32,129,685 | 38,224,104            |                         |
| 871992541                                                                                                   | SYNTHETIC US FIXED RATE 2017  | FUND               |  | 195,272.300                              | 4,415,989  | 8,181,445             |                         |
| 871992558                                                                                                   | SYNTHETIC US FIXED RATE 2022  | FUND               |  | 146,721.750                              | 3,481,052  | 4,612,783             |                         |
| 871990305                                                                                                   | SYNTHETIC US FIXED RATE 2027  | FUND               |  | 194,511.860                              | 3,683,742  | 4,136,549             |                         |
| 871992566                                                                                                   | SYNTHETIC US FIXED RATE 2032  | FUND               |  | 194,786.790                              | 2,802,836  | 2,982,036             |                         |
| 871994661                                                                                                   | SYNTHETIC US FIXED RATE 2037  | FUND               |  | 211,823.490                              | 3,338,273  | 3,744,388             |                         |

| FD491<br>SCHEDULE H (FORM 5500 - 4I-1)<br>SCHEDULE OF ASSETS HELD FOR<br>INVESTMENT PURPOSES AT END OF YEAR |                                                |             | SPX CORPORATION<br>BASE CURRENCY: USD |  | PAGE<br>C 07103<br>AS OF DECEMBER 31, 2013 |  | 75 |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------------|-------------|---------------------------------------|--|--------------------------------------------|--|----|
| IDENTITY OF ISSUE, BORROWER, LESSOR                                                                         | DESCRIPTION OF INVESTMENT<br>SHARES / PAR      | COST        | CURRENT VALUE                         |  |                                            |  |    |
| 616990206 MORGAN STANLEY POOLED INTL EQUITY MUTUAL                                                          | 222,575.110                                    | 21,857,284  | 56,605,080                            |  |                                            |  |    |
| 057071854 BAIRD FUNDS INC AGGREGATE BOND INSTL                                                              | 1,213,725.610                                  | 13,336,275  | 12,634,884                            |  |                                            |  |    |
| 362999468 CMO STRATEGIC OPPORTUNITIES ALLOCATION F                                                          | 718,150.610                                    | 14,705,237  | 16,582,098                            |  |                                            |  |    |
| 928989458 JP MORGAN PRIME MMF PREMIER SHARES                                                                | MONTHLY VARIABLE 12/31/2049<br>156.630         | 157         | 157                                   |  |                                            |  |    |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND                                                          | MONTHLY VARIABLE 12/31/2049<br>156,830,067.700 | 156,830,068 | 156,830,068                           |  |                                            |  |    |
| 565990900 MARSHALL & LLSLEY MONEY MARKET FUND                                                               | 1.090                                          | 1           | 1                                     |  |                                            |  |    |
| 722005626 PIMCO ALL ASSET FUND INST                                                                         | 1,658,237.260                                  | 19,967,350  | 20,031,506                            |  |                                            |  |    |
| 72201F433 PIMCO FUNDS STOCKSPUS LONG DURATION INS                                                           | 5,666,683.160                                  | 39,333,506  | 37,853,444                            |  |                                            |  |    |
| 294910997 EQU-TABLE LIFE INS CO                                                                             | CONTRACT CA-1403<br>148,032.490                | 148,032     | 63,844                                |  |                                            |  |    |
| 294911995 EQU-TABLE LIFE INS CO                                                                             | CONTRACT CA-1039<br>336,387.000                | 336,387     | 20,732                                |  |                                            |  |    |
| JPMorgan Investor Services                                                                                  |                                                |             | J.P.Morgan                            |  |                                            |  |    |

FD491  
SCHEDULE H (FORM 5500 - 41-1)  
SCHEDULE OF ASSETS HELD FOR  
INVESTMENT PURPOSES AT END OF YEAR

SPX CORPORATION

BASE CURRENCY: USD

|         |                   |
|---------|-------------------|
| PAGE    | 76                |
| C 07103 |                   |
| AS OF   | DECEMBER 31, 2013 |

| IDENTITY OF ISSUE, BORROWER, LESSOR                | DESCRIPTION OF INVESTMENT<br>SHARES / PAR  | COST        | CURRENT VALUE |
|----------------------------------------------------|--------------------------------------------|-------------|---------------|
| 294990940 EQUITABLE MELVILLE # 74877               | 602,779.680                                | 602,780     | 602,780       |
| 552993909 MANUFACTURERS LIFE INS CO #33483         | MONTHLY VARIABLE 12/31/2049<br>622,797.890 | 622,798     | 622,798       |
| 554991323 MASS MUTUAL LIFE - 18 POLICIES           | MONTHLY VARIABLE 12/31/2049<br>18.000      | 0           | 18            |
| 575019997 MASSACHUSETTS MUTUAL INS CO              | MONTHLY VARIABLE 12/31/2049<br>173,358.700 | 173,359     | 173,359       |
| 229678123 CUBIST PHARMACEUTICALS INC RIGHT         | 327.000                                    | 0           | 441           |
| 269279139 EXCO RESOURCES INC RIGHT USD             | 500.000                                    | 0           | 80            |
| 879080133 TEJON RANCH CO EQUITY WRT 31/AUG/2016 US | 53.000                                     | 0           | 284           |
| TOTAL GENERAL INVESTMENTS                          |                                            | 396,858,990 | 466,468,006   |

## Schedule 2

| FD493<br>SCHEDULE H (FORM 5500 - 4J-1)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SINGLE TRANSACTIONS |  |  |  | SPX CORPORATION          |          | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |               |
|------------------------------------------------------------------------------------------------------|--|--|--|--------------------------|----------|-----------------------------------------------------------|---------------|
| IDENTITY OF PARTY INVOLVED                                                                           |  |  |  | BASE CURRENCY: USD       | THROUGH  |                                                           |               |
| DESCRIPTION OF ASSET                                                                                 |  |  |  | BASED ON MARKET VALUE OF | EXPENSES | COST OF ASSET                                             | 5% VALUE OF   |
| PURCHASE PRICE                                                                                       |  |  |  | SELLING PRICE            |          |                                                           | CURRENT VALJE |
| NET GAIN OR (LOSS)                                                                                   |  |  |  |                          |          |                                                           |               |
| 107993651 BRIDGEWATER ALL WEATHER FUND                                                               |  |  |  |                          |          |                                                           |               |
| BROKER 0800102 MEMO                                                                                  |  |  |  |                          |          |                                                           |               |
| 33,947 10/01/13 SELL 71146538                                                                        |  |  |  | 1,472.9011               | 0        | 35,283,965                                                | 50,000,000    |
|                                                                                                      |  |  |  |                          |          |                                                           | 14,716,035    |
| 278997861 EB DAILY VALUED GLOBAL ALPHA II FUND                                                       |  |  |  |                          |          |                                                           |               |
| BROKER 0800102 MEMO                                                                                  |  |  |  |                          |          |                                                           |               |
| 386,538 09/16/13 SELL 70525790                                                                       |  |  |  | 131.5888                 | 0        | 50,000,000                                                | 50,864,025    |
|                                                                                                      |  |  |  |                          |          |                                                           | 864,025       |
| 278997861 EB DAILY VALUED GLOBAL ALPHA II FUND                                                       |  |  |  |                          |          |                                                           |               |
| BROKER 0800102 MEMO                                                                                  |  |  |  |                          |          |                                                           |               |
| 386,538 09/16/13 BUY 70525792                                                                        |  |  |  | 131.5888                 | 0        | 50,864,025                                                | 50,864,025    |
|                                                                                                      |  |  |  |                          |          |                                                           | 0             |
| 278997861 EB DAILY VALUED GLOBAL ALPHA II FUND                                                       |  |  |  |                          |          |                                                           |               |
| BROKER 0800102 MEMO                                                                                  |  |  |  |                          |          |                                                           |               |
| 386,538 09/16/13 SELL 70525793                                                                       |  |  |  | 131.5888                 | 0        | 50,864,025                                                | 50,864,025    |
|                                                                                                      |  |  |  |                          |          |                                                           | 0             |
| 362999468 CMO STRATEGIC OPPORTUNITIES ALLOCATION FUND                                                |  |  |  |                          |          |                                                           |               |
| BROKER 0800102 MEMO                                                                                  |  |  |  |                          |          |                                                           |               |
| 2,065,090 09/30/13 SELL 30670129                                                                     |  |  |  | 23.0471                  | 0        | 41,970,614                                                | 47,594,293    |
|                                                                                                      |  |  |  |                          |          |                                                           | 5,623,678     |
| 928989458 JP MORGAN PRIME MMF PREMIER SHARES                                                         |  |  |  |                          |          |                                                           |               |
| MONTHLY VARIABLE 12/31/2049                                                                          |  |  |  |                          |          |                                                           |               |
| BROKER 0800094 MASTER NOTES                                                                          |  |  |  |                          |          |                                                           |               |
| 73,324,465 10/01/13 BUY 30670125                                                                     |  |  |  | 100.0000                 | 0        | 73,324,465                                                | 73,324,465    |
|                                                                                                      |  |  |  |                          |          |                                                           | 0             |
| 928989458 JP MORGAN PRIME MMF PREMIER SHARES                                                         |  |  |  |                          |          |                                                           |               |
| MONTHLY VARIABLE 12/31/2049                                                                          |  |  |  |                          |          |                                                           |               |
| BROKER 0800094 MASTER NOTES                                                                          |  |  |  |                          |          |                                                           |               |
| 85,000,000 10/08/13 SELL 30670128                                                                    |  |  |  | 100.0000                 | 0        | 85,000,000                                                | 85,000,000    |
|                                                                                                      |  |  |  |                          |          |                                                           | 0             |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086                                              |  |  |  |                          |          |                                                           |               |
| MONTHLY VARIABLE 12/31/2049                                                                          |  |  |  |                          |          |                                                           |               |
| BROKER 0800003 MEMO-MASTER NOTES/POOLED FUNDS                                                        |  |  |  |                          |          |                                                           |               |
| 271,703,008 04/01/13 BUY 71145336                                                                    |  |  |  | 100.0000                 | 0        | 271,703,008                                               | 271,703,008   |
|                                                                                                      |  |  |  |                          |          |                                                           | 0             |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086                                              |  |  |  |                          |          |                                                           |               |
| MONTHLY VARIABLE 12/31/2049                                                                          |  |  |  |                          |          |                                                           |               |
| BROKER 0800003 MEMO-MASTER NOTES/POOLED FUNDS                                                        |  |  |  |                          |          |                                                           |               |
| 50,864,025 09/17/13 BUY 70525783                                                                     |  |  |  | 100.0000                 | 0        | 50,864,025                                                | 50,864,025    |
|                                                                                                      |  |  |  |                          |          |                                                           | 0             |

## Schedule 2

| FD493<br>SCHEDULE H (FORM 5500 - 4J-1)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SINGLE TRANSACTIONS                                                                  |                      |                          |          | SPX CORPORATION    |             | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--------------------------|----------|--------------------|-------------|-----------------------------------------------------------|-----------------------|
|                                                                                                                                                                       |                      |                          |          | BASE CURRENCY: USD |             | THROUGH                                                   |                       |
| IDENTITY OF PARTY INVOLVED                                                                                                                                            | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF | EXPENSES | COST OF ASSET      | 5% VALUE OF | CURRENT VALUE                                             | NET GAIN<br>OR (LOSS) |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800003 MEYO-MASTER NOTES/POOLED<br>FUND 1086<br>50,864,025 09/18/13 SELL 70525785 |                      | 100.0000                 | 0        | 50,864,025         | 50,864,025  |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800003 MEYO-MASTER NOTES/POOLED<br>FUND 1086<br>247,241,025 09/18/13 BUY 71146254 |                      | 100.0000                 | 0        | 247,241,025        | 247,241,025 |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800102 MEYO<br>92,457,928 10/01/13 BUY 1018                                       |                      | 100.0000                 | 0        | 92,457,928         | 92,457,928  |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800003 MEYO-MASTER NOTES/POOLED<br>FUND 1086<br>71,015,432 10/01/13 SELL 71146326 |                      | 100.0000                 | 0        | 71,015,432         | 71,015,432  |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800003 MEYO-MASTER NOTES/POOLED<br>FUND 1086<br>121,405,768 10/02/13 BUY 71146330 |                      | 100.0000                 | 0        | 121,405,768        | 121,405,768 |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800003 MEYO-MASTER NOTES/POOLED<br>FUND 1086<br>60,004,470 10/04/13 BUY 71146358  |                      | 100.0000                 | 0        | 60,004,470         | 60,004,470  |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |
| 9289919A8 JPMOLCAN US GOVT MKKT - PREMIER<br>MONTHLY VARIABLE 12/31/2049<br>BROKER 0800003 MEYO-MASTER NOTES/POOLED<br>FUND 1086<br>85,008,218 10/08/13 BUY 71146379  |                      | 100.0000                 | 0        | 85,008,218         | 85,008,218  |                                                           | 0                     |
|                                                                                                                                                                       |                      |                          |          |                    |             |                                                           |                       |

## Schedule 2

| FD493<br>SCHEDULE H (FORM 5500 - 4J-1)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SINGLE TRANSACTIONS |                      |                                 | SPX CORPORATION    |               | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       |
|------------------------------------------------------------------------------------------------------|----------------------|---------------------------------|--------------------|---------------|-----------------------------------------------------------|-----------------------|
|                                                                                                      |                      |                                 | BASE CURRENCY: USD |               | THROUGH                                                   |                       |
| IDENTITY OF PARTY INVOLVED                                                                           | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        | EXPENSES           | COST OF ASSET | 5% VALUE OF                                               | NET GAIN<br>OR (LOSS) |
|                                                                                                      |                      |                                 |                    |               |                                                           |                       |
|                                                                                                      |                      | PURCHASE PRICE<br>SELLING PRICE |                    |               | CURRENT VALUE                                             |                       |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>98,920,674 10/15/13 BUY 1021                        |                      | 100.0000                        | 0                  | 98,920,674    | 98,920,674                                                | 0                     |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>100,323,447 10/15/13 SELL 71146407                  |                      | 100.0000                        | 0                  | 100,323,447   | 100,323,447                                               | 0                     |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>96,418,085 10/18/13 SELL 1028                       |                      | 100.0000                        | 0                  | 96,418,085    | 96,418,085                                                | 0                     |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>99,922,146 10/18/13 BUY 71146419                    |                      | 100.0000                        | 0                  | 99,922,146    | 99,922,146                                                | 0                     |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>56,541,997 11/12/13 SELL 1204                       |                      | 100.0000                        | 0                  | 56,541,997    | 56,541,997                                                | 0                     |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>49,990,350 11/12/13 BUY 71146548                    |                      | 100.0000                        | 0                  | 49,990,350    | 49,990,350                                                | 0                     |
| 9289919A8 JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086<br>MONTHLY VARIABLE 12/31/2049               |                      |                                 |                    |               |                                                           |                       |
| BROKER 0800003 MEYO-MASTER NOTES/POOLED FUNDS<br>625,876,852 11/13/13 SELL 71146557                  |                      | 100.0000                        | 0                  | 625,876,852   | 625,876,852                                               | 0                     |
| 722005626 PIMCO ALL ASSET FUND INST<br>BROKER 0800102 MEYO<br>4,909,984 09/30/13 SELL 346            |                      | 12.2200                         | 0                  | 59,117,940    | 60,000,000                                                | 882,060               |

| FD493<br>SCHEDULE H (FORM 5500 - 4J-1)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SINGLE TRANSACTIONS   |                      |               | SPX CORPORATION                 |          | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       | 87         |
|--------------------------------------------------------------------------------------------------------|----------------------|---------------|---------------------------------|----------|-----------------------------------------------------------|-----------------------|------------|
|                                                                                                        |                      |               | BASE CURRENCY: USD              |          | THROUGH                                                   |                       |            |
| IDENTITY OF PARTY INVOLVED                                                                             | DESCRIPTION OF ASSET | DURATION INST | BASED ON MARKET VALUE OF        |          | 5% VALUE OF                                               | NET GAIN<br>OR (LOSS) |            |
|                                                                                                        |                      |               | PURCHASE PRICE<br>SELLING PRICE | EXPENSES | CURRENT VALUE                                             |                       |            |
| 72201F433 PIMCO FUNDS STOCKSPPLUS LONG DURATION INST<br>BROKER 0800102 MEMO<br>7,692,308 09/11/13 SELL |                      | 348           | 8.4500                          | 0        | 53,582,382                                                | 65,000,000            | 11,417,618 |
|                                                                                                        |                      |               |                                 |          | 936,057,429                                               |                       | 46,802,871 |

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |  |  | SPX CORPORATION                 |          | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                                        |
|--------------------------------------------------------------------------------------------------------------------------|--|--|---------------------------------|----------|-----------------------------------------------------------|----------------------------------------|
| IDENTITY OF PARTY INVOLVED                                                                                               |  |  | BASE CURRENCY: USD              |          | THROUGH                                                   |                                        |
| DESCRIPTION OF ASSET                                                                                                     |  |  | BASED ON MARKET VALUE OF        |          | 5% VALUE OF                                               |                                        |
| IDENTITY OF PARTY INVOLVED                                                                                               |  |  | PURCHASE PRICE<br>SELLING PRICE | EXPENSES | COST OF ASSET                                             | CURRENT VALUE<br>NET GAIN<br>OR (LOSS) |
| 107993651 BRIDGEWATER ALL WEATHER FUND                                                                                   |  |  | 1,472.9011                      |          | 50,000,000                                                |                                        |
| BROKER 0800102 MEMO                                                                                                      |  |  | 0                               |          | 14,716,035                                                |                                        |
| 33,947 10/01/13 S SELL 71146558                                                                                          |  |  | 0                               |          | 14,716,035                                                |                                        |
| 33,947 1 TOTAL SELLS                                                                                                     |  |  | 0                               |          | 14,716,035                                                |                                        |
| 33,947 SECURITY TOTAL                                                                                                    |  |  | 0                               |          | 14,716,035                                                |                                        |
| 278997861 EB DAILY VALUED GLOBAL ALPHA II FUND                                                                           |  |  | 131.5888                        |          | 50,864,025                                                |                                        |
| BROKER 0800102 MEMO                                                                                                      |  |  | 0                               |          | 864,025                                                   |                                        |
| 386,538 09/16/13 S SELL 70525790                                                                                         |  |  | 0                               |          | 0                                                         |                                        |
| 386,538 09/16/13 B BUY 70525792                                                                                          |  |  | 0                               |          | 0                                                         |                                        |
| 386,538 09/16/13 S SELL 70525793                                                                                         |  |  | 0                               |          | 0                                                         |                                        |
| 386,538 1 TOTAL BUYS                                                                                                     |  |  | 0                               |          | 0                                                         |                                        |
| 773,076 2 TOTAL SELLS                                                                                                    |  |  | 0                               |          | 864,025                                                   |                                        |
| 1,159,614 SECURITY TOTAL                                                                                                 |  |  | 0                               |          | 864,025                                                   |                                        |
| 362999468 CMO STRATEGIC OPPORTUNITIES ALLOCATION FUND                                                                    |  |  | 22.0400                         |          | 3,073,446                                                 |                                        |
| BROKER 0800102 MEMO                                                                                                      |  |  | 0                               |          | 242,565                                                   |                                        |
| 139,449 06/28/13 S SELL 30670115                                                                                         |  |  | 0                               |          | 0                                                         |                                        |
| 755 07/31/13 B BUY 30670121                                                                                              |  |  | 0                               |          | 0                                                         |                                        |
| 41,837 07/31/13 B BUY 30670122                                                                                           |  |  | 0                               |          | 0                                                         |                                        |
| BROKER                                                                                                                   |  |  | .0000                           |          | 923,771                                                   |                                        |
| 0 07/31/13 S RCAIN 30670124                                                                                              |  |  | 0                               |          | 923,771                                                   |                                        |
| BROKER 0800102 MEMO                                                                                                      |  |  | 23.0471                         |          | 47,594,293                                                |                                        |
| 2,065,090 09/30/13 S SELL 30670129                                                                                       |  |  | 0                               |          | 5,623,678                                                 |                                        |
| 506,595 09/30/13 S SELL 30670130                                                                                         |  |  | 0                               |          | 1,379,566                                                 |                                        |
| 22,737 12/27/13 B BUY 30670134                                                                                           |  |  | 0                               |          | 0                                                         |                                        |
| 16,355 12/27/13 B BUY 30670136                                                                                           |  |  | 0                               |          | 0                                                         |                                        |
| 1,725 12/27/13 B BUY 30670137                                                                                            |  |  | 0                               |          | 0                                                         |                                        |
| BROKER                                                                                                                   |  |  | .0000                           |          | 376,327                                                   |                                        |
| 0 12/27/13 S RCAIN 30670138                                                                                              |  |  | 0                               |          | 376,327                                                   |                                        |
| 0 12/27/13 S RCAIN 30670139                                                                                              |  |  | 0                               |          | 39,692                                                    |                                        |
| 83,409 5 TOTAL BUYS                                                                                                      |  |  | 0                               |          | 1,879,636                                                 |                                        |
| 2,711,134 6 TOTAL SELLS                                                                                                  |  |  | 0                               |          | 8,585,599                                                 |                                        |
| 2,794,543 SECURITY TOTAL                                                                                                 |  |  | 0                               |          | 8,585,599                                                 |                                        |
| 928989458 JP MORGAN PRIME MMF PREMIER SHARES                                                                             |  |  | 100.0000                        |          | 2,035                                                     |                                        |
| BROKER 0800094 MASTER NOTES                                                                                              |  |  | 0                               |          | 2,035                                                     |                                        |
| 2,035 07/11/13 B BUY 30670117                                                                                            |  |  | 0                               |          | 73,324,465                                                |                                        |
| 2,035 07/12/13 S SELL 30670118                                                                                           |  |  | 0                               |          | 0                                                         |                                        |
| 73,324,465 10/01/13 B BUY 30670125                                                                                       |  |  | 0                               |          | 0                                                         |                                        |

| FD495                                   |                                               |          | SPX CORPORATION          |            | PAGE              |   |
|-----------------------------------------|-----------------------------------------------|----------|--------------------------|------------|-------------------|---|
| SCHEDULE H (FORM 5500 - 4J-3)           |                                               |          | C 07103                  |            | 89                |   |
| SCHEDULE OF REPORTABLE TRANSACTIONS     |                                               |          | DECEMBER 31, 2012        |            | DECEMBER 31, 2013 |   |
| SERIES OF TRANSACTIONS IN SAME SECURITY |                                               |          | THROUGH                  |            |                   |   |
| IDENTITY OF PARTY INVOLVED              |                                               |          | BASE CURRENCY: USD       |            |                   |   |
| DESCRIPTION OF ASSET                    |                                               |          | BASED ON MARKET VALUE OF |            | 5% VALUE OF       |   |
| PARTY INVOLVED                          |                                               |          | EXPENSES                 |            | CURRENT VALUE     |   |
|                                         |                                               |          | PURCHASE PRICE           |            | NET GAIN          |   |
|                                         |                                               |          | SELLING PRICE            |            | OR (LOSS)         |   |
| 11,675,535                              | 10/03/13                                      | B BUY    | 30670126                 | 100.0000   | 11,675,535        | 0 |
| 85,000,000                              | 10/08/13                                      | S SELL   | 30670128                 | 100.0000   | 85,000,000        | 0 |
| 157                                     | 11/01/13                                      | B BUY    | 30670133                 | 100.0000   | 157               | 0 |
| 85,002,192                              | 4 TOTAL BUYS                                  |          |                          |            |                   |   |
| 85,002,035                              | 2 TOTAL SELLS                                 |          |                          |            |                   |   |
| 170,004,227                             | SECURITY TOTAL                                |          |                          |            |                   |   |
| 9289919A8                               | JPMORGAN US GOVT MKKT - PREMIER SHR FUND 1086 |          |                          |            |                   |   |
| MONTHLY VARIABLE 12/31/2049             |                                               |          |                          |            |                   |   |
| BROKER 0800003                          | MEMO-MASTER NOTES/POOLED FUNDS                |          |                          |            |                   |   |
| 12,999,986                              | 01/02/13 S SELL                               | 17       |                          |            |                   |   |
| 30,999                                  | 01/02/13 B BUY                                | 30673106 | 100.0000                 | 12,999,986 | 12,999,986        | 0 |
| 0                                       | 01/02/13 B BUY                                | 71126172 | 100.0000                 | 30,999     | 30,999            | 0 |
| 985,952                                 | 01/02/13 S SELL                               | 71135011 | 100.0000                 | 0          | 0                 | 0 |
| 58,446                                  | 01/02/13 B BUY                                | 71136162 | 100.0000                 | 985,952    | 985,952           | 0 |
| 3,424,073                               | 01/02/13 S SELL                               | 71144815 | 100.0000                 | 58,446     | 58,446            | 0 |
| 72,070                                  | 01/02/13 S SELL                               | 71159593 | 100.0000                 | 3,424,073  | 3,424,073         | 0 |
| 3,190                                   | 01/03/13 B BUY                                | 30673111 | 100.0000                 | 72,070     | 72,070            | 0 |
| 4,275                                   | 01/03/13 B BUY                                | 71136164 | 100.0000                 | 3,190      | 3,190             | 0 |
| 2,000,000                               | 01/03/13 B BUY                                | 71144817 | 100.0000                 | 4,275      | 4,275             | 0 |
| 140,980                                 | 01/03/13 S SELL                               | 71159604 | 100.0000                 | 2,000,000  | 2,000,000         | 0 |
| 19                                      | 01/04/13 B BUY                                | 30673249 | 100.0000                 | 140,980    | 140,980           | 0 |
| 1,009,543                               | 01/04/13 B BUY                                | 71144833 | 100.0000                 | 19         | 19                | 0 |
| 10,790                                  | 01/04/13 B BUY                                | 71159614 | 100.0000                 | 1,009,543  | 1,009,543         | 0 |
| 296                                     | 01/07/13 B BUY                                | 30673267 | 100.0000                 | 10,790     | 10,790            | 0 |
| 17,548                                  | 01/07/13 B BUY                                | 71135021 | 100.0000                 | 296        | 296               | 0 |
| 53                                      | 01/07/13 B BUY                                | 71136165 | 100.0000                 | 17,548     | 17,548            | 0 |
| 12,587                                  | 01/07/13 B BUY                                | 71144840 | 100.0000                 | 53         | 53                | 0 |
| 166,425                                 | 01/07/13 B BUY                                | 71159633 | 100.0000                 | 12,587     | 12,587            | 0 |
| 14                                      | 01/08/13 B BUY                                | 30673271 | 100.0000                 | 166,425    | 166,425           | 0 |
| 13,084                                  | 01/08/13 S SELL                               | 71135022 | 100.0000                 | 14         | 14                | 0 |
| 5,853                                   | 01/08/13 B BUY                                | 71136167 | 100.0000                 | 13,084     | 13,084            | 0 |
| 8,573                                   | 01/08/13 B BUY                                | 71144855 | 100.0000                 | 5,853      | 5,853             | 0 |
| 63,363                                  | 01/08/13 S SELL                               | 71159643 | 100.0000                 | 8,573      | 8,573             | 0 |
| 152,189                                 | 01/09/13 S SELL                               | 30673276 | 100.0000                 | 63,363     | 63,363            | 0 |
| 51,502                                  | 01/09/13 B BUY                                | 71135023 | 100.0000                 | 152,189    | 152,189           | 0 |
| 15,852                                  | 01/09/13 S SELL                               | 71144866 | 100.0000                 | 51,502     | 51,502            | 0 |
| 103,931                                 | 01/09/13 B BUY                                | 71159654 | 100.0000                 | 15,852     | 15,852            | 0 |
| 18,005                                  | 01/10/13 B BUY                                | 30673281 | 100.0000                 | 103,931    | 103,931           | 0 |
| 1,072                                   | 01/10/13 S SELL                               | 71144874 | 100.0000                 | 18,005     | 18,005            | 0 |
| 61,529                                  | 01/10/13 B BUY                                | 71159673 | 100.0000                 | 1,072      | 1,072             | 0 |
| 15,004                                  | 01/11/13 B BUY                                | 30673284 | 100.0000                 | 61,529     | 61,529            | 0 |
| 27,000                                  | 01/11/13 S SELL                               | 71135024 | 100.0000                 | 15,004     | 15,004            | 0 |
| 129,607                                 | 01/11/13 S SELL                               | 71136173 | 100.0000                 | 27,000     | 27,000            | 0 |
| 1,592                                   | 01/11/13 B BUY                                | 71144886 | 100.0000                 | 129,607    | 129,607           | 0 |
|                                         |                                               |          |                          | 1,592      | 1,592             | 0 |

## Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |                      |                                 |                                 | SPX CORPORATION    |               | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       |
|--------------------------------------------------------------------------------------------------------------------------|----------------------|---------------------------------|---------------------------------|--------------------|---------------|-----------------------------------------------------------|-----------------------|
|                                                                                                                          |                      |                                 |                                 | BASE CURRENCY: USD |               | THROUGH                                                   |                       |
| IDENTITY OF PARTY INVOLVED                                                                                               | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |                                 | EXPENSES           | COST OF ASSET | 5% VALUE OF                                               | NET GAIN<br>OR (LOSS) |
|                                                                                                                          |                      | PURCHASE PRICE<br>SELLING PRICE | PURCHASE PRICE<br>SELLING PRICE |                    |               | CURRENT VALUE                                             |                       |
| 90,328 01/11/13 S SELL 71159693                                                                                          |                      | 100.0000                        |                                 | 0                  | 90,328        | 90,328                                                    | 0                     |
| 156 01/14/13 S SELL 30673288                                                                                             |                      | 100.0000                        |                                 | 0                  | 156           | 156                                                       | 0                     |
| 480 01/14/13 B BUY 71135027                                                                                              |                      | 100.0000                        |                                 | 0                  | 480           | 480                                                       | 0                     |
| 173,003 01/14/13 S SELL 71136175                                                                                         |                      | 100.0000                        |                                 | 0                  | 173,003       | 173,003                                                   | 0                     |
| 908 01/14/13 B BUY 71144891                                                                                              |                      | 100.0000                        |                                 | 0                  | 908           | 908                                                       | 0                     |
| 485,439 01/14/13 S SELL 71159710                                                                                         |                      | 100.0000                        |                                 | 0                  | 485,439       | 485,439                                                   | 0                     |
| 1,306 01/15/13 B BUY 30673320                                                                                            |                      | 100.0000                        |                                 | 0                  | 1,306         | 1,306                                                     | 0                     |
| 3,410 01/15/13 B BUY 71135031                                                                                            |                      | 100.0000                        |                                 | 0                  | 3,410         | 3,410                                                     | 0                     |
| 100,567 01/15/13 S SELL 71136179                                                                                         |                      | 100.0000                        |                                 | 0                  | 100,567       | 100,567                                                   | 0                     |
| 2,562,216 01/15/13 B BUY 71144898                                                                                        |                      | 100.0000                        |                                 | 0                  | 2,562,216     | 2,562,216                                                 | 0                     |
| 151,993 01/15/13 B BUY 71159725                                                                                          |                      | 100.0000                        |                                 | 0                  | 151,993       | 151,993                                                   | 0                     |
| 9 01/16/13 B BUY 30673339                                                                                                |                      | 100.0000                        |                                 | 0                  | 9             | 9                                                         | 0                     |
| 2,172 01/16/13 S SELL 71135032                                                                                           |                      | 100.0000                        |                                 | 0                  | 2,172         | 2,172                                                     | 0                     |
| 7,153 01/16/13 S SELL 71159739                                                                                           |                      | 100.0000                        |                                 | 0                  | 7,153         | 7,153                                                     | 0                     |
| 41 01/17/13 B BUY 30673340                                                                                               |                      | 100.0000                        |                                 | 0                  | 41            | 41                                                        | 0                     |
| 4,370 01/17/13 S SELL 71135046                                                                                           |                      | 100.0000                        |                                 | 0                  | 4,370         | 4,370                                                     | 0                     |
| 53,607 01/17/13 S SELL 71144912                                                                                          |                      | 100.0000                        |                                 | 0                  | 53,607        | 53,607                                                    | 0                     |
| 80,311 01/17/13 S SELL 71159748                                                                                          |                      | 100.0000                        |                                 | 0                  | 80,311        | 80,311                                                    | 0                     |
| 17,526 01/18/13 B BUY 30673343                                                                                           |                      | 100.0000                        |                                 | 0                  | 17,526        | 17,526                                                    | 0                     |
| 4,367 01/18/13 S SELL 71135051                                                                                           |                      | 100.0000                        |                                 | 0                  | 4,367         | 4,367                                                     | 0                     |
| 10,786 01/18/13 B BUY 71144926                                                                                           |                      | 100.0000                        |                                 | 0                  | 10,786        | 10,786                                                    | 0                     |
| 420,643 01/18/13 B BUY 71159758                                                                                          |                      | 100.0000                        |                                 | 0                  | 420,643       | 420,643                                                   | 0                     |
| 168 01/22/13 B BUY 30673351                                                                                              |                      | 100.0000                        |                                 | 0                  | 168           | 168                                                       | 0                     |
| 57,289 01/22/13 B BUY 71135071                                                                                           |                      | 100.0000                        |                                 | 0                  | 57,289        | 57,289                                                    | 0                     |
| 32,208 01/22/13 S SELL 71136182                                                                                          |                      | 100.0000                        |                                 | 0                  | 32,208        | 32,208                                                    | 0                     |
| 699 01/22/13 S SELL 71144934                                                                                             |                      | 100.0000                        |                                 | 0                  | 699           | 699                                                       | 0                     |
| 96,652 01/22/13 B BUY 71159776                                                                                           |                      | 100.0000                        |                                 | 0                  | 96,652        | 96,652                                                    | 0                     |
| 199 01/23/13 B BUY 30673358                                                                                              |                      | 100.0000                        |                                 | 0                  | 199           | 199                                                       | 0                     |
| 200,000 01/23/13 B BUY 71126173                                                                                          |                      | 100.0000                        |                                 | 0                  | 200,000       | 200,000                                                   | 0                     |
| 10,868 01/23/13 S SELL 71135091                                                                                          |                      | 100.0000                        |                                 | 0                  | 10,868        | 10,868                                                    | 0                     |
| 2,389 01/23/13 B BUY 71136184                                                                                            |                      | 100.0000                        |                                 | 0                  | 2,389         | 2,389                                                     | 0                     |
| 1,642 01/23/13 S SELL 71144941                                                                                           |                      | 100.0000                        |                                 | 0                  | 1,642         | 1,642                                                     | 0                     |
| 211,729 01/23/13 B BUY 71159794                                                                                          |                      | 100.0000                        |                                 | 0                  | 211,729       | 211,729                                                   | 0                     |
| 8,915 01/24/13 B BUY 30673362                                                                                            |                      | 100.0000                        |                                 | 0                  | 8,915         | 8,915                                                     | 0                     |
| 200,000 01/24/13 S SELL 71126177                                                                                         |                      | 100.0000                        |                                 | 0                  | 200,000       | 200,000                                                   | 0                     |
| 224,943 01/24/13 B BUY 71135099                                                                                          |                      | 100.0000                        |                                 | 0                  | 224,943       | 224,943                                                   | 0                     |
| 201,245 01/24/13 B BUY 71144951                                                                                          |                      | 100.0000                        |                                 | 0                  | 201,245       | 201,245                                                   | 0                     |
| 25,476 01/24/13 S SELL 71159811                                                                                          |                      | 100.0000                        |                                 | 0                  | 25,476        | 25,476                                                    | 0                     |
| 88 01/25/13 B BUY 30673447                                                                                               |                      | 100.0000                        |                                 | 0                  | 88            | 88                                                        | 0                     |
| 455,848 01/25/13 B BUY 71135100                                                                                          |                      | 100.0000                        |                                 | 0                  | 455,848       | 455,848                                                   | 0                     |
| 1,831 01/25/13 B BUY 71144961                                                                                            |                      | 100.0000                        |                                 | 0                  | 1,831         | 1,831                                                     | 0                     |
| 145,986 01/25/13 B BUY 71159833                                                                                          |                      | 100.0000                        |                                 | 0                  | 145,986       | 145,986                                                   | 0                     |
| 341 01/28/13 B BUY 30673454                                                                                              |                      | 100.0000                        |                                 | 0                  | 341           | 341                                                       | 0                     |
| 95,674 01/28/13 S SELL 71135134                                                                                          |                      | 100.0000                        |                                 | 0                  | 95,674        | 95,674                                                    | 0                     |
| 30,000 01/28/13 B BUY 71136194                                                                                           |                      | 100.0000                        |                                 | 0                  | 30,000        | 30,000                                                    | 0                     |
| 628 01/28/13 S SELL 71144963                                                                                             |                      | 100.0000                        |                                 | 0                  | 628           | 628                                                       | 0                     |
| 103,855 01/28/13 S SELL 71159852                                                                                         |                      | 100.0000                        |                                 | 0                  | 103,855       | 103,855                                                   | 0                     |

Schedule 2

FD495  
SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

PAGE  
C 07103  
DECEMBER 31, 2012  
DECEMBER 31, 2013

BASE CURRENCY: USD

THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |                                 | EXPENSES | 936,057,429   |               | 5% VALUE OF | CURRENT VALUE | NET GAIN<br>OR (LOSS) |
|----------------------------|----------------------|---------------------------------|---------------------------------|----------|---------------|---------------|-------------|---------------|-----------------------|
|                            |                      | PURCHASE PRICE<br>SELLING PRICE | PURCHASE PRICE<br>SELLING PRICE |          | COST OF ASSET | COST OF ASSET |             |               |                       |
| 2,981 01/29/13 S SELL      | 71144984             | 100.0000                        | 100.0000                        | 0        | 2,981         | 2,981         | 2,981       | 0             | 0                     |
| 49,533 01/29/13 B BUY      | 71159871             | 100.0000                        | 100.0000                        | 0        | 49,533        | 49,533        | 49,533      | 0             | 0                     |
| 44,381 01/30/13 S SELL     | 30673557             | 100.0000                        | 100.0000                        | 0        | 44,381        | 44,381        | 44,381      | 0             | 0                     |
| 491,659 01/30/13 B BUY     | 71135145             | 100.0000                        | 100.0000                        | 0        | 491,659       | 491,659       | 491,659     | 0             | 0                     |
| 235,105 01/30/13 S SELL    | 71136274             | 100.0000                        | 100.0000                        | 0        | 235,105       | 235,105       | 235,105     | 0             | 0                     |
| 275,559 01/30/13 S SELL    | 71144991             | 100.0000                        | 100.0000                        | 0        | 275,559       | 275,559       | 275,559     | 0             | 0                     |
| 149,425 01/30/13 B BUY     | 71159888             | 100.0000                        | 100.0000                        | 0        | 149,425       | 149,425       | 149,425     | 0             | 0                     |
| 1,204 01/31/13 B BUY       | 30673568             | 100.0000                        | 100.0000                        | 0        | 1,204         | 1,204         | 1,204       | 0             | 0                     |
| 3,539 01/31/13 S SELL      | 71135152             | 100.0000                        | 100.0000                        | 0        | 3,539         | 3,539         | 3,539       | 0             | 0                     |
| 384,288 01/31/13 B BUY     | 71136283             | 100.0000                        | 100.0000                        | 0        | 384,288       | 384,288       | 384,288     | 0             | 0                     |
| 56,250 01/31/13 S SELL     | 71144993             | 100.0000                        | 100.0000                        | 0        | 56,250        | 56,250        | 56,250      | 0             | 0                     |
| 70,898 01/31/13 B BUY      | 71159896             | 100.0000                        | 100.0000                        | 0        | 70,898        | 70,898        | 70,898      | 0             | 0                     |
| 4 02/01/13 B BUY           | 28                   | 100.0000                        | 100.0000                        | 0        | 4             | 4             | 4           | 0             | 0                     |
| 3,356 02/01/13 B BUY       | 30673582             | 100.0000                        | 100.0000                        | 0        | 3,356         | 3,356         | 3,356       | 0             | 0                     |
| 0 02/01/13 B BUY           | 71126179             | 100.0000                        | 100.0000                        | 0        | 0             | 0             | 0           | 0             | 0                     |
| 970,862 02/01/13 S SELL    | 71135169             | 100.0000                        | 100.0000                        | 0        | 970,862       | 970,862       | 970,862     | 0             | 0                     |
| 282,382 02/01/13 B BUY     | 71136288             | 100.0000                        | 100.0000                        | 0        | 282,382       | 282,382       | 282,382     | 0             | 0                     |
| 3,773,406 02/01/13 S SELL  | 71145035             | 100.0000                        | 100.0000                        | 0        | 3,773,406     | 3,773,406     | 3,773,406   | 0             | 0                     |
| 99,792 02/01/13 B BUY      | 71159908             | 100.0000                        | 100.0000                        | 0        | 99,792        | 99,792        | 99,792      | 0             | 0                     |
| 931 02/04/13 B BUY         | 30673592             | 100.0000                        | 100.0000                        | 0        | 931           | 931           | 931         | 0             | 0                     |
| 56,714 02/04/13 S SELL     | 71135178             | 100.0000                        | 100.0000                        | 0        | 56,714        | 56,714        | 56,714      | 0             | 0                     |
| 8,676 02/04/13 S SELL      | 71136290             | 100.0000                        | 100.0000                        | 0        | 8,676         | 8,676         | 8,676       | 0             | 0                     |
| 1,951,265 02/04/13 B BUY   | 71145044             | 100.0000                        | 100.0000                        | 0        | 1,951,265     | 1,951,265     | 1,951,265   | 0             | 0                     |
| 53,280 02/04/13 B BUY      | 71159924             | 100.0000                        | 100.0000                        | 0        | 53,280        | 53,280        | 53,280      | 0             | 0                     |
| 16,779 02/05/13 S SELL     | 30673595             | 100.0000                        | 100.0000                        | 0        | 16,779        | 16,779        | 16,779      | 0             | 0                     |
| 85,589 02/05/13 S SELL     | 71135188             | 100.0000                        | 100.0000                        | 0        | 85,589        | 85,589        | 85,589      | 0             | 0                     |
| 28,806 02/05/13 S SELL     | 71136292             | 100.0000                        | 100.0000                        | 0        | 28,806        | 28,806        | 28,806      | 0             | 0                     |
| 91,338 02/05/13 S SELL     | 71145067             | 100.0000                        | 100.0000                        | 0        | 91,338        | 91,338        | 91,338      | 0             | 0                     |
| 21,146 02/05/13 S SELL     | 71159933             | 100.0000                        | 100.0000                        | 0        | 21,146        | 21,146        | 21,146      | 0             | 0                     |
| 141 02/06/13 B BUY         | 30673599             | 100.0000                        | 100.0000                        | 0        | 141           | 141           | 141         | 0             | 0                     |
| 15,979 02/06/13 B BUY      | 71135195             | 100.0000                        | 100.0000                        | 0        | 15,979        | 15,979        | 15,979      | 0             | 0                     |
| 43,677 02/06/13 S SELL     | 71136293             | 100.0000                        | 100.0000                        | 0        | 43,677        | 43,677        | 43,677      | 0             | 0                     |
| 3,923 02/06/13 B BUY       | 71145078             | 100.0000                        | 100.0000                        | 0        | 3,923         | 3,923         | 3,923       | 0             | 0                     |
| 79,398 02/06/13 S SELL     | 71159948             | 100.0000                        | 100.0000                        | 0        | 79,398        | 79,398        | 79,398      | 0             | 0                     |
| 1,913 02/07/13 B BUY       | 30673602             | 100.0000                        | 100.0000                        | 0        | 1,913         | 1,913         | 1,913       | 0             | 0                     |
| 47,417 02/07/13 S SELL     | 71135198             | 100.0000                        | 100.0000                        | 0        | 47,417        | 47,417        | 47,417      | 0             | 0                     |
| 4,511 02/07/13 B BUY       | 71145092             | 100.0000                        | 100.0000                        | 0        | 4,511         | 4,511         | 4,511       | 0             | 0                     |
| 17,964 02/07/13 S SELL     | 71159959             | 100.0000                        | 100.0000                        | 0        | 17,964        | 17,964        | 17,964      | 0             | 0                     |
| 21 02/08/13 B BUY          | 30673605             | 100.0000                        | 100.0000                        | 0        | 21            | 21            | 21          | 0             | 0                     |
| 43,756 02/08/13 B BUY      | 71135203             | 100.0000                        | 100.0000                        | 0        | 43,756        | 43,756        | 43,756      | 0             | 0                     |
| 18,904 02/08/13 B BUY      | 71145097             | 100.0000                        | 100.0000                        | 0        | 18,904        | 18,904        | 18,904      | 0             | 0                     |
| 109,336 02/08/13 S SELL    | 71159968             | 100.0000                        | 100.0000                        | 0        | 109,336       | 109,336       | 109,336     | 0             | 0                     |
| 7,863 02/11/13 B BUY       | 30673610             | 100.0000                        | 100.0000                        | 0        | 7,863         | 7,863         | 7,863       | 0             | 0                     |
| 6,220 02/11/13 B BUY       | 71135206             | 100.0000                        | 100.0000                        | 0        | 6,220         | 6,220         | 6,220       | 0             | 0                     |
| 304 02/11/13 B BUY         | 71145101             | 100.0000                        | 100.0000                        | 0        | 304           | 304           | 304         | 0             | 0                     |
| 380,085 02/11/13 B BUY     | 71159974             | 100.0000                        | 100.0000                        | 0        | 380,085       | 380,085       | 380,085     | 0             | 0                     |
| 45,217 02/12/13 S SELL     | 71135210             | 100.0000                        | 100.0000                        | 0        | 45,217        | 45,217        | 45,217      | 0             | 0                     |

Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |                      |                                 |  | SPX CORPORATION    |               | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       |
|--------------------------------------------------------------------------------------------------------------------------|----------------------|---------------------------------|--|--------------------|---------------|-----------------------------------------------------------|-----------------------|
|                                                                                                                          |                      |                                 |  | BASE CURRENCY: USD |               | THROUGH                                                   |                       |
| IDENTITY OF PARTY INVOLVED                                                                                               | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |  | EXPENSES           | COST OF ASSET | 5% VALUE OF                                               | NET GAIN<br>OR (LOSS) |
|                                                                                                                          |                      | PURCHASE PRICE<br>SELLING PRICE |  |                    |               | CURRENT VALUE                                             |                       |
| 95,864 02/12/13 B BUY                                                                                                    | 71159977             | 100.0000                        |  | 0                  | 95,864        | 95,864                                                    | 0                     |
| 4,172 02/13/13 B BUY                                                                                                     | 30673616             | 100.0000                        |  | 0                  | 4,172         | 4,172                                                     | 0                     |
| 34,847 02/13/13 S SELL                                                                                                   | 71135212             | 100.0000                        |  | 0                  | 34,847        | 34,847                                                    | 0                     |
| 226 02/13/13 B BUY                                                                                                       | 71136295             | 100.0000                        |  | 0                  | 226           | 226                                                       | 0                     |
| 73,047 02/13/13 S SELL                                                                                                   | 71159981             | 100.0000                        |  | 0                  | 73,047        | 73,047                                                    | 0                     |
| 298 02/14/13 B BUY                                                                                                       | 30673621             | 100.0000                        |  | 0                  | 298           | 298                                                       | 0                     |
| 32,921 02/14/13 S SELL                                                                                                   | 71135215             | 100.0000                        |  | 0                  | 32,921        | 32,921                                                    | 0                     |
| 11,750 02/14/13 B BUY                                                                                                    | 71136297             | 100.0000                        |  | 0                  | 11,750        | 11,750                                                    | 0                     |
| 235 02/14/13 B BUY                                                                                                       | 71145114             | 100.0000                        |  | 0                  | 235           | 235                                                       | 0                     |
| 29,321 02/14/13 B BUY                                                                                                    | 71159989             | 100.0000                        |  | 0                  | 29,321        | 29,321                                                    | 0                     |
| 52,959 02/15/13 B BUY                                                                                                    | 30673629             | 100.0000                        |  | 0                  | 52,959        | 52,959                                                    | 0                     |
| 4,729 02/15/13 S SELL                                                                                                    | 71135224             | 100.0000                        |  | 0                  | 4,729         | 4,729                                                     | 0                     |
| 5,899 02/15/13 B BUY                                                                                                     | 71136301             | 100.0000                        |  | 0                  | 5,899         | 5,899                                                     | 0                     |
| 107,005 02/15/13 S SELL                                                                                                  | 71145121             | 100.0000                        |  | 0                  | 107,005       | 107,005                                                   | 0                     |
| 6,212 02/15/13 S SELL                                                                                                    | 71160003             | 100.0000                        |  | 0                  | 6,212         | 6,212                                                     | 0                     |
| 18,500 02/19/13 B BUY                                                                                                    | 30673732             | 100.0000                        |  | 0                  | 18,500        | 18,500                                                    | 0                     |
| 71,091 02/19/13 B BUY                                                                                                    | 71135232             | 100.0000                        |  | 0                  | 71,091        | 71,091                                                    | 0                     |
| 2,392 02/19/13 B BUY                                                                                                     | 71145125             | 100.0000                        |  | 0                  | 2,392         | 2,392                                                     | 0                     |
| 88,019 02/19/13 S SELL                                                                                                   | 71160008             | 100.0000                        |  | 0                  | 88,019        | 88,019                                                    | 0                     |
| 2,983 02/20/13 S SELL                                                                                                    | 30673740             | 100.0000                        |  | 0                  | 2,983         | 2,983                                                     | 0                     |
| 142,949 02/20/13 B BUY                                                                                                   | 71135240             | 100.0000                        |  | 0                  | 142,949       | 142,949                                                   | 0                     |
| 1,641,759 02/20/13 S SELL                                                                                                | 71145134             | 100.0000                        |  | 0                  | 1,641,759     | 1,641,759                                                 | 0                     |
| 57,475 02/20/13 B BUY                                                                                                    | 71160018             | 100.0000                        |  | 0                  | 57,475        | 57,475                                                    | 0                     |
| 429 02/21/13 B BUY                                                                                                       | 30673744             | 100.0000                        |  | 0                  | 429           | 429                                                       | 0                     |
| 49,747 02/21/13 B BUY                                                                                                    | 71135249             | 100.0000                        |  | 0                  | 49,747        | 49,747                                                    | 0                     |
| 2,262 02/21/13 B BUY                                                                                                     | 71136329             | 100.0000                        |  | 0                  | 2,262         | 2,262                                                     | 0                     |
| 57,763 02/21/13 S SELL                                                                                                   | 71145140             | 100.0000                        |  | 0                  | 57,763        | 57,763                                                    | 0                     |
| 20,765 02/21/13 B BUY                                                                                                    | 71160043             | 100.0000                        |  | 0                  | 20,765        | 20,765                                                    | 0                     |
| 50,704 02/22/13 S SELL                                                                                                   | 30673749             | 100.0000                        |  | 0                  | 50,704        | 50,704                                                    | 0                     |
| 381,265 02/22/13 B BUY                                                                                                   | 71135254             | 100.0000                        |  | 0                  | 381,265       | 381,265                                                   | 0                     |
| 37,885 02/22/13 B BUY                                                                                                    | 71136346             | 100.0000                        |  | 0                  | 37,885        | 37,885                                                    | 0                     |
| 3,626 02/22/13 S SELL                                                                                                    | 71145145             | 100.0000                        |  | 0                  | 3,626         | 3,626                                                     | 0                     |
| 179,161 02/22/13 B BUY                                                                                                   | 71160060             | 100.0000                        |  | 0                  | 179,161       | 179,161                                                   | 0                     |
| 40,416 02/25/13 B BUY                                                                                                    | 30673761             | 100.0000                        |  | 0                  | 40,416        | 40,416                                                    | 0                     |
| 77,668 02/25/13 S SELL                                                                                                   | 71135255             | 100.0000                        |  | 0                  | 77,668        | 77,668                                                    | 0                     |
| 277,689 02/25/13 S SELL                                                                                                  | 71136356             | 100.0000                        |  | 0                  | 277,689       | 277,689                                                   | 0                     |
| 202,746 02/25/13 S SELL                                                                                                  | 71160068             | 100.0000                        |  | 0                  | 202,746       | 202,746                                                   | 0                     |
| 59 02/26/13 B BUY                                                                                                        | 30673764             | 100.0000                        |  | 0                  | 59            | 59                                                        | 0                     |
| 48,721 02/26/13 S SELL                                                                                                   | 71135278             | 100.0000                        |  | 0                  | 48,721        | 48,721                                                    | 0                     |
| 9,492 02/26/13 B BUY                                                                                                     | 71136424             | 100.0000                        |  | 0                  | 9,492         | 9,492                                                     | 0                     |
| 3,016 02/26/13 B BUY                                                                                                     | 71145148             | 100.0000                        |  | 0                  | 3,016         | 3,016                                                     | 0                     |
| 278,747 02/26/13 S SELL                                                                                                  | 71160082             | 100.0000                        |  | 0                  | 278,747       | 278,747                                                   | 0                     |
| 67 02/27/13 B BUY                                                                                                        | 30673766             | 100.0000                        |  | 0                  | 67            | 67                                                        | 0                     |
| 109,272 02/27/13 B BUY                                                                                                   | 71136427             | 100.0000                        |  | 0                  | 109,272       | 109,272                                                   | 0                     |
| 347 02/27/13 B BUY                                                                                                       | 71145150             | 100.0000                        |  | 0                  | 347           | 347                                                       | 0                     |
| 52,461 02/27/13 S SELL                                                                                                   | 71160088             | 100.0000                        |  | 0                  | 52,461        | 52,461                                                    | 0                     |
| 895 02/28/13 B BUY                                                                                                       | 30673877             | 100.0000                        |  | 0                  | 895           | 895                                                       | 0                     |

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |                      |                                 |          | SPX CORPORATION    |             | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       |
|--------------------------------------------------------------------------------------------------------------------------|----------------------|---------------------------------|----------|--------------------|-------------|-----------------------------------------------------------|-----------------------|
|                                                                                                                          |                      |                                 |          | BASE CURRENCY: USD |             | THROUGH                                                   |                       |
| IDENTITY OF PARTY INVOLVED                                                                                               | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        | EXPENSES | COST OF ASSET      | 5% VALUE OF | CURRENT VALUE                                             | NET GAIN<br>OR (LOSS) |
|                                                                                                                          |                      |                                 |          |                    |             |                                                           |                       |
|                                                                                                                          |                      | PURCHASE PRICE<br>SELLING PRICE |          |                    |             |                                                           |                       |
| 289,422 02/28/13 B BUY 71135301                                                                                          |                      | 100.0000                        | 0        | 289,422            | 289,422     | 289,422                                                   | 0                     |
| 62,640 02/28/13 B BUY 71136430                                                                                           |                      | 100.0000                        | 0        | 62,640             | 62,640      | 62,640                                                    | 0                     |
| 275 02/28/13 S SELL 71145155                                                                                             |                      | 100.0000                        | 0        | 275                | 275         | 275                                                       | 0                     |
| 89,-49 02/28/13 S SELL 71160094                                                                                          |                      | 100.0000                        | 0        | 89,149             | 89,149      | 89,149                                                    | 0                     |
| 488 03/01/13 B BUY 30673906                                                                                              |                      | 100.0000                        | 0        | 488                | 488         | 488                                                       | 0                     |
| 866,307 03/01/13 S SELL 71135309                                                                                         |                      | 100.0000                        | 0        | 866,307            | 866,307     | 866,307                                                   | 0                     |
| 85,-56 03/01/13 B BUY 71136436                                                                                           |                      | 100.0000                        | 0        | 85,156             | 85,156      | 85,156                                                    | 0                     |
| 3,669,264 03/01/13 S SELL 71145201                                                                                       |                      | 100.0000                        | 0        | 3,669,264          | 3,669,264   | 3,669,264                                                 | 0                     |
| 90,089 03/01/13 S SELL 71160106                                                                                          |                      | 100.0000                        | 0        | 90,089             | 90,089      | 90,089                                                    | 0                     |
| 20,081 03/04/13 B BUY 30673908                                                                                           |                      | 100.0000                        | 0        | 20,081             | 20,081      | 20,081                                                    | 0                     |
| 147,322 03/04/13 B BUY 71135320                                                                                          |                      | 100.0000                        | 0        | 147,322            | 147,322     | 147,322                                                   | 0                     |
| 168,045 03/04/13 B BUY 71136439                                                                                          |                      | 100.0000                        | 0        | 168,045            | 168,045     | 168,045                                                   | 0                     |
| 2,000,098 03/04/13 B BUY 71145206                                                                                        |                      | 100.0000                        | 0        | 2,000,098          | 2,000,098   | 2,000,098                                                 | 0                     |
| 108,770 03/04/13 B BUY 71160120                                                                                          |                      | 100.0000                        | 0        | 108,770            | 108,770     | 108,770                                                   | 0                     |
| 35,500 03/05/13 S SELL 30673917                                                                                          |                      | 100.0000                        | 0        | 35,500             | 35,500      | 35,500                                                    | 0                     |
| 837 03/05/13 S SELL 71135328                                                                                             |                      | 100.0000                        | 0        | 837                | 837         | 837                                                       | 0                     |
| 67,473 03/05/13 B BUY 71136447                                                                                           |                      | 100.0000                        | 0        | 67,473             | 67,473      | 67,473                                                    | 0                     |
| 989,047 03/05/13 B BUY 71145227                                                                                          |                      | 100.0000                        | 0        | 989,047            | 989,047     | 989,047                                                   | 0                     |
| 171,670 03/05/13 B BUY 71160127                                                                                          |                      | 100.0000                        | 0        | 171,670            | 171,670     | 171,670                                                   | 0                     |
| -73 03/06/13 B BUY 30673922                                                                                              |                      | 100.0000                        | 0        | 173                | 173         | 173                                                       | 0                     |
| 93,922 03/06/13 B BUY 71135335                                                                                           |                      | 100.0000                        | 0        | 93,922             | 93,922      | 93,922                                                    | 0                     |
| 44,548 03/06/13 B BUY 71136454                                                                                           |                      | 100.0000                        | 0        | 44,548             | 44,548      | 44,548                                                    | 0                     |
| 22,580 03/06/13 B BUY 71145235                                                                                           |                      | 100.0000                        | 0        | 22,580             | 22,580      | 22,580                                                    | 0                     |
| 566,447 03/06/13 S SELL 71160134                                                                                         |                      | 100.0000                        | 0        | 566,447            | 566,447     | 566,447                                                   | 0                     |
| 1,-19 03/07/13 B BUY 30673925                                                                                            |                      | 100.0000                        | 0        | 1,119              | 1,119       | 1,119                                                     | 0                     |
| 61,429 03/07/13 S SELL 71135344                                                                                          |                      | 100.0000                        | 0        | 61,429             | 61,429      | 61,429                                                    | 0                     |
| 198,679 03/07/13 B BUY 71136458                                                                                          |                      | 100.0000                        | 0        | 198,679            | 198,679     | 198,679                                                   | 0                     |
| 2,607 03/07/13 B BUY 71145253                                                                                            |                      | 100.0000                        | 0        | 2,607              | 2,607       | 2,607                                                     | 0                     |
| 39,682 03/07/13 S SELL 71160145                                                                                          |                      | 100.0000                        | 0        | 39,682             | 39,682      | 39,682                                                    | 0                     |
| 204 03/08/13 B BUY 30673928                                                                                              |                      | 100.0000                        | 0        | 204                | 204         | 204                                                       | 0                     |
| 1,999 03/08/13 B BUY 71135364                                                                                            |                      | 100.0000                        | 0        | 1,999              | 1,999       | 1,999                                                     | 0                     |
| 69,761 03/08/13 B BUY 71136462                                                                                           |                      | 100.0000                        | 0        | 69,761             | 69,761      | 69,761                                                    | 0                     |
| 697 03/08/13 B BUY 71145261                                                                                              |                      | 100.0000                        | 0        | 697                | 697         | 697                                                       | 0                     |
| 21,480 03/08/13 B BUY 71160156                                                                                           |                      | 100.0000                        | 0        | 21,480             | 21,480      | 21,480                                                    | 0                     |
| 1,596 03/11/13 B BUY 30673937                                                                                            |                      | 100.0000                        | 0        | 1,596              | 1,596       | 1,596                                                     | 0                     |
| 33,787 03/11/13 B BUY 71135379                                                                                           |                      | 100.0000                        | 0        | 33,787             | 33,787      | 33,787                                                    | 0                     |
| 45,388 03/11/13 B BUY 71136464                                                                                           |                      | 100.0000                        | 0        | 45,388             | 45,388      | 45,388                                                    | 0                     |
| 754 03/11/13 S SELL 71145264                                                                                             |                      | 100.0000                        | 0        | 754                | 754         | 754                                                       | 0                     |
| 25,399 03/11/13 S SELL 71160161                                                                                          |                      | 100.0000                        | 0        | 25,399             | 25,399      | 25,399                                                    | 0                     |
| 1,365 03/12/13 B BUY 30673943                                                                                            |                      | 100.0000                        | 0        | 1,365              | 1,365       | 1,365                                                     | 0                     |
| 55,528 03/12/13 B BUY 71135388                                                                                           |                      | 100.0000                        | 0        | 55,528             | 55,528      | 55,528                                                    | 0                     |
| 31,397 03/12/13 B BUY 71136466                                                                                           |                      | 100.0000                        | 0        | 31,397             | 31,397      | 31,397                                                    | 0                     |
| 37,567 03/12/13 B BUY 71160170                                                                                           |                      | 100.0000                        | 0        | 37,567             | 37,567      | 37,567                                                    | 0                     |
| 5,424 03/13/13 B BUY 30673949                                                                                            |                      | 100.0000                        | 0        | 5,424              | 5,424       | 5,424                                                     | 0                     |
| 131,449 03/13/13 B BUY 71135395                                                                                          |                      | 100.0000                        | 0        | 131,449            | 131,449     | 131,449                                                   | 0                     |
| 5,751 03/13/13 B BUY 71136469                                                                                            |                      | 100.0000                        | 0        | 5,751              | 5,751       | 5,751                                                     | 0                     |
| 349 03/13/13 B BUY 71145266                                                                                              |                      | 100.0000                        | 0        | 349                | 349         | 349                                                       | 0                     |

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF |               | EXPENSES | COST OF ASSET | 5% VALUE OF | NET GAIN OR (LOSS) |
|----------------------------|----------------------|--------------------------|---------------|----------|---------------|-------------|--------------------|
|                            |                      | PURCHASE PRICE           | SELLING PRICE |          |               |             |                    |
| 37,693                     | 03/13/13 S SELL      | 71160176                 | 100.0000      | 0        | 37,693        | 37,693      | 0                  |
| 5                          | 03/14/13 B BUY       | 30674082                 | 100.0000      | 0        | 5             | 5           | 0                  |
| 5                          | 03/14/13 B BUY       | 30674083                 | 100.0000      | 0        | 5             | 5           | 0                  |
| 5                          | 03/14/13 S SELL      | 30674100                 | 100.0000      | 0        | 5             | 5           | 0                  |
| 87,705                     | 03/14/13 B BUY       | 71135404                 | 100.0000      | 0        | 87,705        | 87,705      | 0                  |
| 1,494                      | 03/14/13 B BUY       | 71145273                 | 100.0000      | 0        | 1,494         | 1,494       | 0                  |
| 120,081                    | 03/14/13 B BUY       | 71160181                 | 100.0000      | 0        | 120,081       | 120,081     | 0                  |
| 1,923                      | 03/15/13 B BUY       | 30674101                 | 100.0000      | 0        | 1,923         | 1,923       | 0                  |
| 35,123                     | 03/15/13 B BUY       | 71135417                 | 100.0000      | 0        | 35,123        | 35,123      | 0                  |
| 13,555                     | 03/15/13 B BUY       | 71136476                 | 100.0000      | 0        | 13,555        | 13,555      | 0                  |
| 50,156                     | 03/15/13 S SELL      | 71145277                 | 100.0000      | 0        | 50,156        | 50,156      | 0                  |
| 43,165                     | 03/15/13 B BUY       | 71160205                 | 100.0000      | 0        | 43,165        | 43,165      | 0                  |
| 7,323                      | 03/18/13 B BUY       | 30674132                 | 100.0000      | 0        | 7,323         | 7,323       | 0                  |
| 22,957                     | 03/18/13 B BUY       | 71135421                 | 100.0000      | 0        | 22,957        | 22,957      | 0                  |
| 371                        | 03/18/13 S SELL      | 71145281                 | 100.0000      | 0        | 371           | 371         | 0                  |
| 6,458                      | 03/18/13 S SELL      | 71160220                 | 100.0000      | 0        | 6,458         | 6,458       | 0                  |
| 56,804                     | 03/19/13 S SELL      | 30674140                 | 100.0000      | 0        | 56,804        | 56,804      | 0                  |
| 95,140                     | 03/19/13 S SELL      | 71135423                 | 100.0000      | 0        | 95,140        | 95,140      | 0                  |
| 103,479                    | 03/19/13 S SELL      | 71136490                 | 100.0000      | 0        | 103,479       | 103,479     | 0                  |
| 142,007                    | 03/19/13 B BUY       | 71160231                 | 100.0000      | 0        | 142,007       | 142,007     | 0                  |
| 593                        | 03/20/13 B BUY       | 30674141                 | 100.0000      | 0        | 593           | 593         | 0                  |
| 11,706                     | 03/20/13 B BUY       | 71135428                 | 100.0000      | 0        | 11,706        | 11,706      | 0                  |
| 801,865                    | 03/20/13 S SELL      | 71136492                 | 100.0000      | 0        | 801,865       | 801,865     | 0                  |
| 51,736                     | 03/20/13 S SELL      | 71160240                 | 100.0000      | 0        | 51,736        | 51,736      | 0                  |
| 305                        | 03/21/13 B BUY       | 30674146                 | 100.0000      | 0        | 305           | 305         | 0                  |
| 5,886                      | 03/21/13 S SELL      | 71135431                 | 100.0000      | 0        | 5,886         | 5,886       | 0                  |
| 202,442                    | 03/21/13 B BUY       | 71136498                 | 100.0000      | 0        | 202,442       | 202,442     | 0                  |
| 167,064                    | 03/21/13 S SELL      | 71160253                 | 100.0000      | 0        | 167,064       | 167,064     | 0                  |
| 549                        | 03/22/13 B BUY       | 30674149                 | 100.0000      | 0        | 549           | 549         | 0                  |
| 30,592                     | 03/22/13 S SELL      | 71135432                 | 100.0000      | 0        | 30,592        | 30,592      | 0                  |
| 152,687                    | 03/22/13 B BUY       | 71136504                 | 100.0000      | 0        | 152,687       | 152,687     | 0                  |
| 112,682                    | 03/22/13 S SELL      | 71160258                 | 100.0000      | 0        | 112,682       | 112,682     | 0                  |
| 420                        | 03/25/13 B BUY       | 30674157                 | 100.0000      | 0        | 420           | 420         | 0                  |
| 7,609                      | 03/25/13 S SELL      | 71135444                 | 100.0000      | 0        | 7,609         | 7,609       | 0                  |
| 94,268                     | 03/25/13 S SELL      | 71136511                 | 100.0000      | 0        | 94,268        | 94,268      | 0                  |
| 56,233                     | 03/25/13 B BUY       | 71160262                 | 100.0000      | 0        | 56,233        | 56,233      | 0                  |
| 230                        | 03/26/13 B BUY       | 30674168                 | 100.0000      | 0        | 230           | 230         | 0                  |
| 110,597                    | 03/26/13 B BUY       | 71136582                 | 100.0000      | 0        | 110,597       | 110,597     | 0                  |
| 249                        | 03/26/13 B BUY       | 71145286                 | 100.0000      | 0        | 249           | 249         | 0                  |
| 6,015                      | 03/26/13 B BUY       | 71160263                 | 100.0000      | 0        | 6,015         | 6,015       | 0                  |
| 468                        | 03/27/13 B BUY       | 30674172                 | 100.0000      | 0        | 468           | 468         | 0                  |
| 87,959                     | 03/27/13 B BUY       | 71135479                 | 100.0000      | 0        | 87,959        | 87,959      | 0                  |
| 74,071                     | 03/27/13 S SELL      | 71136585                 | 100.0000      | 0        | 74,071        | 74,071      | 0                  |
| 1,964                      | 03/27/13 B BUY       | 71160272                 | 100.0000      | 0        | 1,964         | 1,964       | 0                  |
| 1,565                      | 03/28/13 B BUY       | 30674219                 | 100.0000      | 0        | 1,565         | 1,565       | 0                  |
| 586,649                    | 03/28/13 B BUY       | 71135482                 | 100.0000      | 0        | 586,649       | 586,649     | 0                  |
| 69,519                     | 03/28/13 S SELL      | 71136586                 | 100.0000      | 0        | 69,519        | 69,519      | 0                  |

BASE CURRENCY: USD

THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |   | EXPENSES | COST OF ASSET | 5% VALUE OF | NET GAIN OR (LOSS) |
|----------------------------|----------------------|---------------------------------|---|----------|---------------|-------------|--------------------|
|                            |                      | PURCHASE PRICE<br>SELLING PRICE |   |          |               |             |                    |
| 8,719 03/28/13 B BUY       | 71160280             | 100.0000                        | 0 |          | 8,719         |             | 0                  |
| 17,922 04/01/13 B BUY      | 30674270             | 100.0000                        | 0 |          | 17,922        | 17,922      | 0                  |
| 971,275 04/01/13 S SELL    | 71135490             | 100.0000                        | 0 |          | 971,275       | 971,275     | 0                  |
| 108,381 04/01/13 B BUY     | 71136594             | 100.0000                        | 0 |          | 108,381       | 108,381     | 0                  |
| 271,703,008 04/01/13 B BUY | 71145336             | 100.0000                        | 0 |          | 271,703,008   | 271,703,008 | 0                  |
| 26,478 04/01/13 B BUY      | 71160305             | 100.0000                        | 0 |          | 26,478        | 26,478      | 0                  |
| 301 04/02/13 B BUY         | 30674281             | 100.0000                        | 0 |          | 301           | 301         | 0                  |
| 2,438 04/02/13 S SELL      | 71135491             | 100.0000                        | 0 |          | 2,438         | 2,438       | 0                  |
| 2,001,202 04/02/13 B BUY   | 71145342             | 100.0000                        | 0 |          | 2,001,202     | 2,001,202   | 0                  |
| 82,964 04/02/13 B BUY      | 71160316             | 100.0000                        | 0 |          | 82,964        | 82,964      | 0                  |
| 20,420 04/03/13 S SELL     | 30674288             | 100.0000                        | 0 |          | 20,420        | 20,420      | 0                  |
| 1,128 04/03/13 B BUY       | 71135500             | 100.0000                        | 0 |          | 1,128         | 1,128       | 0                  |
| 1,020,391 04/03/13 B BUY   | 71145364             | 100.0000                        | 0 |          | 1,020,391     | 1,020,391   | 0                  |
| 105,565 04/03/13 B BUY     | 71160327             | 100.0000                        | 0 |          | 105,565       | 105,565     | 0                  |
| 24 04/04/13 B BUY          | 30674292             | 100.0000                        | 0 |          | 24            | 24          | 0                  |
| 3,097 04/04/13 B BUY       | 71136596             | 100.0000                        | 0 |          | 3,097         | 3,097       | 0                  |
| 2,797 04/04/13 B BUY       | 71145372             | 100.0000                        | 0 |          | 2,797         | 2,797       | 0                  |
| 37,481 04/04/13 S SELL     | 71160346             | 100.0000                        | 0 |          | 37,481        | 37,481      | 0                  |
| 485 04/05/13 B BUY         | 30674295             | 100.0000                        | 0 |          | 485           | 485         | 0                  |
| 17,073 04/05/13 B BUY      | 71135507             | 100.0000                        | 0 |          | 17,073        | 17,073      | 0                  |
| 4,259 04/05/13 B BUY       | 71145382             | 100.0000                        | 0 |          | 4,259         | 4,259       | 0                  |
| 39,149 04/05/13 B BUY      | 71160354             | 100.0000                        | 0 |          | 39,149        | 39,149      | 0                  |
| 152 04/08/13 B BUY         | 30674305             | 100.0000                        | 0 |          | 152           | 152         | 0                  |
| 6,689 04/08/13 S SELL      | 71135511             | 100.0000                        | 0 |          | 6,689         | 6,689       | 0                  |
| 9 04/08/13 B BUY           | 71145386             | 100.0000                        | 0 |          | 9             | 9           | 0                  |
| 218,328 04/08/13 S SELL    | 71160370             | 100.0000                        | 0 |          | 218,328       | 218,328     | 0                  |
| 205 04/09/13 B BUY         | 30674308             | 100.0000                        | 0 |          | 205           | 205         | 0                  |
| 18,042 04/09/13 B BUY      | 71135515             | 100.0000                        | 0 |          | 18,042        | 18,042      | 0                  |
| 4,522 04/09/13 B BUY       | 71136598             | 100.0000                        | 0 |          | 4,522         | 4,522       | 0                  |
| 54 04/09/13 B BUY          | 71145390             | 100.0000                        | 0 |          | 54            | 54          | 0                  |
| 13,092 04/09/13 B BUY      | 71160382             | 100.0000                        | 0 |          | 13,092        | 13,092      | 0                  |
| 200 04/10/13 B BUY         | 30674312             | 100.0000                        | 0 |          | 200           | 200         | 0                  |
| 83,087 04/10/13 B BUY      | 71135518             | 100.0000                        | 0 |          | 83,087        | 83,087      | 0                  |
| 653 04/10/13 B BUY         | 71145394             | 100.0000                        | 0 |          | 653           | 653         | 0                  |
| 130,467 04/10/13 B BUY     | 71160397             | 100.0000                        | 0 |          | 130,467       | 130,467     | 0                  |
| 5,587 04/11/13 B BUY       | 30674317             | 100.0000                        | 0 |          | 5,587         | 5,587       | 0                  |
| 20,898 04/11/13 S SELL     | 71135519             | 100.0000                        | 0 |          | 20,898        | 20,898      | 0                  |
| 169 04/11/13 B BUY         | 71145401             | 100.0000                        | 0 |          | 169           | 169         | 0                  |
| 88,888 04/11/13 B BUY      | 71160411             | 100.0000                        | 0 |          | 88,888        | 88,888      | 0                  |
| 575 04/12/13 B BUY         | 30674321             | 100.0000                        | 0 |          | 575           | 575         | 0                  |
| 45,276 04/12/13 B BUY      | 71135520             | 100.0000                        | 0 |          | 45,276        | 45,276      | 0                  |
| 12,845 04/12/13 B BUY      | 71136601             | 100.0000                        | 0 |          | 12,845        | 12,845      | 0                  |
| 29,909 04/12/13 S SELL     | 71145410             | 100.0000                        | 0 |          | 29,909        | 29,909      | 0                  |
| 34,988 04/12/13 S SELL     | 71160428             | 100.0000                        | 0 |          | 34,988        | 34,988      | 0                  |
| 20,394 04/15/13 B BUY      | 30674328             | 100.0000                        | 0 |          | 20,394        | 20,394      | 0                  |
| 3,840 04/15/13 B BUY       | 71135524             | 100.0000                        | 0 |          | 3,840         | 3,840       | 0                  |
| 16,540 04/15/13 B BUY      | 71136606             | 100.0000                        | 0 |          | 16,540        | 16,540      | 0                  |

FD495  
SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

PAGE  
C 07103  
DECEMBER 31, 2012  
DECEMBER 31, 2013

BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |   | EXPENSES | COST OF ASSET | 5% VALUE OF   |   | NET GAIN OR (LOSS) |
|----------------------------|----------------------|---------------------------------|---|----------|---------------|---------------|---|--------------------|
|                            |                      | PURCHASE PRICE<br>SELLING PRICE |   |          |               | CURRENT VALUE |   |                    |
| 77,926 04/15/13 S SELL     | 71145416             | 100.0000                        | 0 |          | 77,926        | 77,926        | 0 | 46,802,879         |
| 79,605 04/15/13 B BUY      | 71160436             | 100.0000                        | 0 |          | 79,605        | 79,605        | 0 |                    |
| 1,624 04/16/13 B BUY       | 30674355             | 100.0000                        | 0 |          | 1,624         | 1,624         | 0 |                    |
| 212 04/16/13 B BUY         | 71145425             | 100.0000                        | 0 |          | 212           | 212           | 0 |                    |
| 98,261 04/16/13 B BUY      | 71160451             | 100.0000                        | 0 |          | 98,261        | 98,261        | 0 |                    |
| 45 04/17/13 B BUY          | 30674420             | 100.0000                        | 0 |          | 45            | 45            | 0 |                    |
| 6,597 04/17/13 B BUY       | 71145427             | 100.0000                        | 0 |          | 6,597         | 6,597         | 0 |                    |
| 66,659 04/17/13 S SELL     | 71160462             | 100.0000                        | 0 |          | 66,659        | 66,659        | 0 |                    |
| 369 04/18/13 B BUY         | 30674425             | 100.0000                        | 0 |          | 369           | 369           | 0 |                    |
| 11,798 04/18/13 B BUY      | 71135534             | 100.0000                        | 0 |          | 11,798        | 11,798        | 0 |                    |
| 91,795 04/18/13 S SELL     | 71136612             | 100.0000                        | 0 |          | 91,795        | 91,795        | 0 |                    |
| 1 04/18/13 B BUY           | 71145429             | 100.0000                        | 0 |          | 1             | 1             | 0 |                    |
| 220,521 04/18/13 S SELL    | 71160479             | 100.0000                        | 0 |          | 220,521       | 220,521       | 0 |                    |
| 1,042 04/19/13 B BUY       | 30674435             | 100.0000                        | 0 |          | 1,042         | 1,042         | 0 |                    |
| 2,093 04/19/13 S SELL      | 71135539             | 100.0000                        | 0 |          | 2,093         | 2,093         | 0 |                    |
| 65,933 04/19/13 B BUY      | 71136613             | 100.0000                        | 0 |          | 65,933        | 65,933        | 0 |                    |
| 803 04/19/13 B BUY         | 71145435             | 100.0000                        | 0 |          | 803           | 803           | 0 |                    |
| 168,567 04/19/13 S SELL    | 71160495             | 100.0000                        | 0 |          | 168,567       | 168,567       | 0 |                    |
| 58,170 04/22/13 S SELL     | 30674436             | 100.0000                        | 0 |          | 58,170        | 58,170        | 0 |                    |
| 3,138 04/22/13 S SELL      | 71135540             | 100.0000                        | 0 |          | 3,138         | 3,138         | 0 |                    |
| 88 04/22/13 B BUY          | 71145437             | 100.0000                        | 0 |          | 88            | 88            | 0 |                    |
| 185,107 04/22/13 S SELL    | 71160501             | 100.0000                        | 0 |          | 185,107       | 185,107       | 0 |                    |
| 78 04/23/13 B BUY          | 30674440             | 100.0000                        | 0 |          | 78            | 78            | 0 |                    |
| 52,361 04/23/13 B BUY      | 71135541             | 100.0000                        | 0 |          | 52,361        | 52,361        | 0 |                    |
| 107 04/23/13 S SELL        | 71145439             | 100.0000                        | 0 |          | 107           | 107           | 0 |                    |
| 101,614 04/23/13 S SELL    | 71160507             | 100.0000                        | 0 |          | 101,614       | 101,614       | 0 |                    |
| 3,610 04/24/13 B BUY       | 30674443             | 100.0000                        | 0 |          | 3,610         | 3,610         | 0 |                    |
| 350 04/24/13 B BUY         | 71135543             | 100.0000                        | 0 |          | 350           | 350           | 0 |                    |
| 2,098 04/24/13 B BUY       | 71136619             | 100.0000                        | 0 |          | 2,098         | 2,098         | 0 |                    |
| 315,537 04/24/13 S SELL    | 71145443             | 100.0000                        | 0 |          | 315,537       | 315,537       | 0 |                    |
| 84,163 04/24/13 B BUY      | 71160512             | 100.0000                        | 0 |          | 84,163        | 84,163        | 0 |                    |
| 12,076 04/25/13 B BUY      | 30674446             | 100.0000                        | 0 |          | 12,076        | 12,076        | 0 |                    |
| 4,929 04/25/13 S SELL      | 71136620             | 100.0000                        | 0 |          | 4,929         | 4,929         | 0 |                    |
| 100,620 04/25/13 B BUY     | 71145445             | 100.0000                        | 0 |          | 100,620       | 100,620       | 0 |                    |
| 9,233 04/25/13 B BUY       | 71160524             | 100.0000                        | 0 |          | 9,233         | 9,233         | 0 |                    |
| 1,465 04/26/13 B BUY       | 30674455             | 100.0000                        | 0 |          | 1,465         | 1,465         | 0 |                    |
| 27,625 04/26/13 B BUY      | 71136632             | 100.0000                        | 0 |          | 27,625        | 27,625        | 0 |                    |
| 357,670 04/26/13 S SELL    | 71145453             | 100.0000                        | 0 |          | 357,670       | 357,670       | 0 |                    |
| 21,518 04/26/13 B BUY      | 71160538             | 100.0000                        | 0 |          | 21,518        | 21,518        | 0 |                    |
| 12 04/29/13 B BUY          | 30674457             | 100.0000                        | 0 |          | 12            | 12            | 0 |                    |
| 3,518 04/29/13 B BUY       | 71135591             | 100.0000                        | 0 |          | 3,518         | 3,518         | 0 |                    |
| 32 04/29/13 B BUY          | 71145457             | 100.0000                        | 0 |          | 32            | 32            | 0 |                    |
| 123,665 04/29/13 B BUY     | 71160545             | 100.0000                        | 0 |          | 123,665       | 123,665       | 0 |                    |
| 1,431 04/30/13 B BUY       | 30674470             | 100.0000                        | 0 |          | 1,431         | 1,431         | 0 |                    |
| 524,400 04/30/13 B BUY     | 71135592             | 100.0000                        | 0 |          | 524,400       | 524,400       | 0 |                    |
| 31,717 04/30/13 S SELL     | 71136712             | 100.0000                        | 0 |          | 31,717        | 31,717        | 0 |                    |
| 11,303 04/30/13 B BUY      | 71160556             | 100.0000                        | 0 |          | 11,303        | 11,303        | 0 |                    |

## Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |          |          |   | SPX CORPORATION    |            | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |   |
|--------------------------------------------------------------------------------------------------------------------------|----------|----------|---|--------------------|------------|-----------------------------------------------------------|---|
| IDENTITY OF PARTY INVOLVED                                                                                               |          |          |   | BASE CURRENCY: USD |            | THROUGH                                                   |   |
| DESCRIPTION OF ASSET                                                                                                     |          |          |   | 5% VALUE OF        |            | NET GAIN<br>OR (LOSS)                                     |   |
| PARTY INVOLVED                                                                                                           |          |          |   | CURRENT VALUE      |            |                                                           |   |
| BUY                                                                                                                      |          |          |   | EXPENSES           |            |                                                           |   |
| SELL                                                                                                                     |          |          |   | PURCHASE PRICE     |            |                                                           |   |
| BUY                                                                                                                      |          |          |   | SELLING PRICE      |            |                                                           |   |
| 835 05/01/13 B BUY                                                                                                       | 30674487 | 100.0000 | 0 | 835                | 835        | 0                                                         | 0 |
| 832,312 05/01/13 S SELL                                                                                                  | 71135598 | 100.0000 | 0 | 832,312            | 832,312    | 0                                                         | 0 |
| 118,273 05/01/13 B BUY                                                                                                   | 71136718 | 100.0000 | 0 | 118,273            | 118,273    | 0                                                         | 0 |
| 23,387,187 05/01/13 S SELL                                                                                               | 71145506 | 100.0000 | 0 | 23,387,187         | 23,387,187 | 0                                                         | 0 |
| 33,313 05/01/13 B BUY                                                                                                    | 71160575 | 100.0000 | 0 | 33,313             | 33,313     | 0                                                         | 0 |
| 2 05/02/13 B BUY                                                                                                         | 30674495 | 100.0000 | 0 | 2                  | 2          | 0                                                         | 0 |
| 9,055 05/02/13 B BUY                                                                                                     | 71135605 | 100.0000 | 0 | 9,055              | 9,055      | 0                                                         | 0 |
| 87,862 05/02/13 S SELL                                                                                                   | 71136721 | 100.0000 | 0 | 87,862             | 87,862     | 0                                                         | 0 |
| 2,004,441 05/02/13 B BUY                                                                                                 | 71145317 | 100.0000 | 0 | 2,004,441          | 2,004,441  | 0                                                         | 0 |
| 86,305 05/02/13 B BUY                                                                                                    | 71160591 | 100.0000 | 0 | 86,305             | 86,305     | 0                                                         | 0 |
| 1,395 05/03/13 B BUY                                                                                                     | 30674496 | 100.0000 | 0 | 1,395              | 1,395      | 0                                                         | 0 |
| 62,983 05/03/13 B BUY                                                                                                    | 71135620 | 100.0000 | 0 | 62,983             | 62,983     | 0                                                         | 0 |
| 51,205 05/03/13 S SELL                                                                                                   | 71136725 | 100.0000 | 0 | 51,205             | 51,205     | 0                                                         | 0 |
| 1,021,794 05/03/13 B BUY                                                                                                 | 71145537 | 100.0000 | 0 | 1,021,794          | 1,021,794  | 0                                                         | 0 |
| 72,098 05/03/13 B BUY                                                                                                    | 71160597 | 100.0000 | 0 | 72,098             | 72,098     | 0                                                         | 0 |
| 262 05/06/13 B BUY                                                                                                       | 30674500 | 100.0000 | 0 | 262                | 262        | 0                                                         | 0 |
| 20,116 05/06/13 B BUY                                                                                                    | 71135631 | 100.0000 | 0 | 20,116             | 20,116     | 0                                                         | 0 |
| 65,652 05/06/13 S SELL                                                                                                   | 71136728 | 100.0000 | 0 | 65,652             | 65,652     | 0                                                         | 0 |
| 11,373 05/06/13 S SELL                                                                                                   | 71145344 | 100.0000 | 0 | 11,373             | 11,373     | 0                                                         | 0 |
| 119,028 05/06/13 S SELL                                                                                                  | 71160605 | 100.0000 | 0 | 119,028            | 119,028    | 0                                                         | 0 |
| 52 05/07/13 B BUY                                                                                                        | 30674504 | 100.0000 | 0 | 52                 | 52         | 0                                                         | 0 |
| 65,928 05/07/13 S SELL                                                                                                   | 71135643 | 100.0000 | 0 | 65,928             | 65,928     | 0                                                         | 0 |
| 25,208 05/07/13 S SELL                                                                                                   | 71136732 | 100.0000 | 0 | 25,208             | 25,208     | 0                                                         | 0 |
| 16,325 05/07/13 S SELL                                                                                                   | 71145361 | 100.0000 | 0 | 16,325             | 16,325     | 0                                                         | 0 |
| 187,313 05/07/13 B BUY                                                                                                   | 71160612 | 100.0000 | 0 | 187,313            | 187,313    | 0                                                         | 0 |
| 279 05/08/13 B BUY                                                                                                       | 30674506 | 100.0000 | 0 | 279                | 279        | 0                                                         | 0 |
| 176,429 05/08/13 B BUY                                                                                                   | 71135652 | 100.0000 | 0 | 176,429            | 176,429    | 0                                                         | 0 |
| 941 05/08/13 B BUY                                                                                                       | 71136736 | 100.0000 | 0 | 941                | 941        | 0                                                         | 0 |
| 747,074 05/08/13 S SELL                                                                                                  | 71145369 | 100.0000 | 0 | 747,074            | 747,074    | 0                                                         | 0 |
| 202,351 05/08/13 B BUY                                                                                                   | 71160623 | 100.0000 | 0 | 202,351            | 202,351    | 0                                                         | 0 |
| 299 05/09/13 B BUY                                                                                                       | 30674510 | 100.0000 | 0 | 299                | 299        | 0                                                         | 0 |
| 65,618 05/09/13 B BUY                                                                                                    | 71135654 | 100.0000 | 0 | 65,618             | 65,618     | 0                                                         | 0 |
| 26,109 05/09/13 S SELL                                                                                                   | 71136737 | 100.0000 | 0 | 26,109             | 26,109     | 0                                                         | 0 |
| 25,558 05/09/13 S SELL                                                                                                   | 71145377 | 100.0000 | 0 | 25,558             | 25,558     | 0                                                         | 0 |
| 31,022 05/09/13 B BUY                                                                                                    | 71160634 | 100.0000 | 0 | 31,022             | 31,022     | 0                                                         | 0 |
| 469 05/10/13 B BUY                                                                                                       | 30674514 | 100.0000 | 0 | 469                | 469        | 0                                                         | 0 |
| 12,574 05/10/13 S SELL                                                                                                   | 71135660 | 100.0000 | 0 | 12,574             | 12,574     | 0                                                         | 0 |
| 20,052 05/10/13 B BUY                                                                                                    | 71136739 | 100.0000 | 0 | 20,052             | 20,052     | 0                                                         | 0 |
| 100,622 05/10/13 S SELL                                                                                                  | 71145381 | 100.0000 | 0 | 100,622            | 100,622    | 0                                                         | 0 |
| 5,705 05/10/13 B BUY                                                                                                     | 71160641 | 100.0000 | 0 | 5,705              | 5,705      | 0                                                         | 0 |
| 37 05/13/13 B BUY                                                                                                        | 30674516 | 100.0000 | 0 | 37                 | 37         | 0                                                         | 0 |
| 11,308 05/13/13 B BUY                                                                                                    | 71135674 | 100.0000 | 0 | 11,308             | 11,308     | 0                                                         | 0 |
| 63 05/13/13 B BUY                                                                                                        | 71145384 | 100.0000 | 0 | 63                 | 63         | 0                                                         | 0 |
| 142,601 05/13/13 B BUY                                                                                                   | 71160654 | 100.0000 | 0 | 142,601            | 142,601    | 0                                                         | 0 |
| 283 05/14/13 B BUY                                                                                                       | 30674518 | 100.0000 | 0 | 283                | 283        | 0                                                         | 0 |
| 28,136 05/14/13 S SELL                                                                                                   | 71135676 | 100.0000 | 0 | 28,136             | 28,136     | 0                                                         | 0 |
| 65,953 05/14/13 S SELL                                                                                                   | 71160666 | 100.0000 | 0 | 65,953             | 65,953     | 0                                                         | 0 |

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |          |  | SPX CORPORATION                 |           | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |   |
|--------------------------------------------------------------------------------------------------------------------------|----------|--|---------------------------------|-----------|-----------------------------------------------------------|---|
| IDENTITY OF PARTY INVOLVED                                                                                               |          |  | BASE CURRENCY: USD              |           | THROUGH                                                   |   |
| DESCRIPTION OF ASSET                                                                                                     |          |  | BASED ON MARKET VALUE OF        |           | 5% VALUE OF                                               |   |
| PARTY INVOLVED                                                                                                           |          |  | PURCHASE PRICE<br>SELLING PRICE |           | CURRENT VALUE                                             |   |
| EXPENSES                                                                                                                 |          |  | COST OF ASSET                   |           | NET GAIN<br>OR (LOSS)                                     |   |
| 1,764 05/15/13 B BUY                                                                                                     | 30674521 |  | 100.0000                        | 1,764     | 1,764                                                     | 0 |
| 117,799 05/15/13 B BUY                                                                                                   | 71135680 |  | 100.0000                        | 117,799   | 117,799                                                   | 0 |
| 4,340 05/15/13 B BUY                                                                                                     | 71136744 |  | 100.0000                        | 4,340     | 4,340                                                     | 0 |
| 7,231,942 05/15/13 S SELL                                                                                                | 71145594 |  | 100.0000                        | 7,231,942 | 7,231,942                                                 | 0 |
| 66,961 05/15/13 S SELL                                                                                                   | 71160682 |  | 100.0000                        | 66,961    | 66,961                                                    | 0 |
| 540 05/16/13 B BUY                                                                                                       | 30674533 |  | 100.0000                        | 540       | 540                                                       | 0 |
| 17,419 05/16/13 B BUY                                                                                                    | 71135684 |  | 100.0000                        | 17,419    | 17,419                                                    | 0 |
| 11,504 05/16/13 S SELL                                                                                                   | 71136748 |  | 100.0000                        | 11,504    | 11,504                                                    | 0 |
| 56,529 05/16/13 S SELL                                                                                                   | 71145606 |  | 100.0000                        | 56,529    | 56,529                                                    | 0 |
| 539 05/16/13 S SELL                                                                                                      | 71160698 |  | 100.0000                        | 539       | 539                                                       | 0 |
| 640 05/17/13 B BUY                                                                                                       | 30674534 |  | 100.0000                        | 640       | 640                                                       | 0 |
| 167,807 05/17/13 S SELL                                                                                                  | 71135687 |  | 100.0000                        | 167,807   | 167,807                                                   | 0 |
| 23,741 05/17/13 S SELL                                                                                                   | 71136760 |  | 100.0000                        | 23,741    | 23,741                                                    | 0 |
| 502 05/17/13 B BUY                                                                                                       | 71145614 |  | 100.0000                        | 502       | 502                                                       | 0 |
| 22,167 05/17/13 S SELL                                                                                                   | 71160712 |  | 100.0000                        | 22,167    | 22,167                                                    | 0 |
| 1,330 05/20/13 B BUY                                                                                                     | 30674546 |  | 100.0000                        | 1,330     | 1,330                                                     | 0 |
| 389 05/20/13 S SELL                                                                                                      | 71135692 |  | 100.0000                        | 389       | 389                                                       | 0 |
| 25,856 05/20/13 S SELL                                                                                                   | 71136768 |  | 100.0000                        | 25,856    | 25,856                                                    | 0 |
| 89,034 05/20/13 B BUY                                                                                                    | 71160730 |  | 100.0000                        | 89,034    | 89,034                                                    | 0 |
| 283 05/21/13 B BUY                                                                                                       | 30674552 |  | 100.0000                        | 283       | 283                                                       | 0 |
| 75,708 05/21/13 B BUY                                                                                                    | 71135694 |  | 100.0000                        | 75,708    | 75,708                                                    | 0 |
| 466,333 05/21/13 S SELL                                                                                                  | 71136771 |  | 100.0000                        | 466,333   | 466,333                                                   | 0 |
| 227 05/21/13 B BUY                                                                                                       | 71145617 |  | 100.0000                        | 227       | 227                                                       | 0 |
| 88,269 05/21/13 B BUY                                                                                                    | 71160746 |  | 100.0000                        | 88,269    | 88,269                                                    | 0 |
| 70 05/22/13 B BUY                                                                                                        | 30674555 |  | 100.0000                        | 70        | 70                                                        | 0 |
| 67,661 05/22/13 B BUY                                                                                                    | 71135696 |  | 100.0000                        | 67,661    | 67,661                                                    | 0 |
| 337,571 05/22/13 B BUY                                                                                                   | 71136773 |  | 100.0000                        | 337,571   | 337,571                                                   | 0 |
| 92 05/22/13 B BUY                                                                                                        | 71145619 |  | 100.0000                        | 92        | 92                                                        | 0 |
| 185,966 05/22/13 B BUY                                                                                                   | 71160765 |  | 100.0000                        | 185,966   | 185,966                                                   | 0 |
| 442 05/23/13 B BUY                                                                                                       | 30674561 |  | 100.0000                        | 442       | 442                                                       | 0 |
| 3,528 05/23/13 B BUY                                                                                                     | 71135699 |  | 100.0000                        | 3,528     | 3,528                                                     | 0 |
| 11,208 05/23/13 B BUY                                                                                                    | 71136774 |  | 100.0000                        | 11,208    | 11,208                                                    | 0 |
| 89 05/23/13 B BUY                                                                                                        | 71145623 |  | 100.0000                        | 89        | 89                                                        | 0 |
| 100,595 05/23/13 B BUY                                                                                                   | 71160781 |  | 100.0000                        | 100,595   | 100,595                                                   | 0 |
| 3,529 05/24/13 B BUY                                                                                                     | 30674569 |  | 100.0000                        | 3,529     | 3,529                                                     | 0 |
| 16,214 05/24/13 S SELL                                                                                                   | 71135704 |  | 100.0000                        | 16,214    | 16,214                                                    | 0 |
| 47,681 05/24/13 S SELL                                                                                                   | 71136777 |  | 100.0000                        | 47,681    | 47,681                                                    | 0 |
| 352 05/24/13 B BUY                                                                                                       | 71145627 |  | 100.0000                        | 352       | 352                                                       | 0 |
| 209,113 05/24/13 B BUY                                                                                                   | 71160794 |  | 100.0000                        | 209,113   | 209,113                                                   | 0 |
| 82 05/28/13 B BUY                                                                                                        | 30674580 |  | 100.0000                        | 82        | 82                                                        | 0 |
| 5,046 05/28/13 B BUY                                                                                                     | 71135713 |  | 100.0000                        | 5,046     | 5,046                                                     | 0 |
| 142,488 05/28/13 S SELL                                                                                                  | 71145631 |  | 100.0000                        | 142,488   | 142,488                                                   | 0 |
| 423,629 05/28/13 S SELL                                                                                                  | 71160804 |  | 100.0000                        | 423,629   | 423,629                                                   | 0 |
| 2,967 05/29/13 B BUY                                                                                                     | 30674588 |  | 100.0000                        | 2,967     | 2,967                                                     | 0 |
| 38,576 05/29/13 B BUY                                                                                                    | 71135751 |  | 100.0000                        | 38,576    | 38,576                                                    | 0 |
| 901,217 05/29/13 S SELL                                                                                                  | 71145637 |  | 100.0000                        | 901,217   | 901,217                                                   | 0 |
| 164,770 05/29/13 S SELL                                                                                                  | 71160821 |  | 100.0000                        | 164,770   | 164,770                                                   | 0 |

| FD495                                   |                      |                                 | SPX CORPORATION    |             | PAGE              |                       |
|-----------------------------------------|----------------------|---------------------------------|--------------------|-------------|-------------------|-----------------------|
| SCHEDULE H (FORM 5500 - 4J-3)           |                      |                                 | C 07103            |             | 99                |                       |
| SCHEDULE OF REPORTABLE TRANSACTIONS     |                      |                                 | THROUGH            |             | DECEMBER 31, 2012 |                       |
| SERIES OF TRANSACTIONS IN SAME SECURITY |                      |                                 | BASE CURRENCY: USD |             | DECEMBER 31, 2013 |                       |
| IDENTITY OF PARTY INVOLVED              | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |                    | 5% VALUE OF | 46,802,871        |                       |
|                                         |                      | PURCHASE PRICE<br>SELLING PRICE | EXPENSES           |             | CURRENT VALUE     | NET GAIN<br>OR (LOSS) |
| 886 05/30/13 B BUY                      | 30674589             | 100.0000                        | 0                  | 886         | 886               | 0                     |
| 42,172 05/30/13 S SELL                  | 71135754             | 100.0000                        | 0                  | 42,172      | 42,172            | 0                     |
| 1,739 05/30/13 S SELL                   | 71145639             | 100.0000                        | 0                  | 1,739       | 1,739             | 0                     |
| 87,818 05/30/13 S SELL                  | 71160838             | 100.0000                        | 0                  | 87,818      | 87,818            | 0                     |
| 1,387 05/31/13 B BUY                    | 30674618             | 100.0000                        | 0                  | 1,387       | 1,387             | 0                     |
| 662,799 05/31/13 B BUY                  | 71135770             | 100.0000                        | 0                  | 662,799     | 662,799           | 0                     |
| 5,761,706 05/31/13 S SELL               | 71145646             | 100.0000                        | 0                  | 5,761,706   | 5,761,706         | 0                     |
| 469,640 05/31/13 S SELL                 | 71160852             | 100.0000                        | 0                  | 469,640     | 469,640           | 0                     |
| 5,789 06/03/13 B BUY                    | 30674645             | 100.0000                        | 0                  | 5,789       | 5,789             | 0                     |
| 1,007,152 06/03/13 S SELL               | 71135787             | 100.0000                        | 0                  | 1,007,152   | 1,007,152         | 0                     |
| 35,367 06/03/13 B BUY                   | 71136849             | 100.0000                        | 0                  | 35,367      | 35,367            | 0                     |
| 4,291,619 06/03/13 S SELL               | 71145690             | 100.0000                        | 0                  | 4,291,619   | 4,291,619         | 0                     |
| 115,643 06/03/13 S SELL                 | 71160870             | 100.0000                        | 0                  | 115,643     | 115,643           | 0                     |
| 293 06/04/13 B BUY                      | 30674658             | 100.0000                        | 0                  | 293         | 293               | 0                     |
| 124,844 06/04/13 B BUY                  | 71135796             | 100.0000                        | 0                  | 124,844     | 124,844           | 0                     |
| 2,000,033 06/04/13 B BUY                | 71145693             | 100.0000                        | 0                  | 2,000,033   | 2,000,033         | 0                     |
| 7,889 06/04/13 B BUY                    | 71160879             | 100.0000                        | 0                  | 7,889       | 7,889             | 0                     |
| 25,508 06/05/13 S SELL                  | 30674664             | 100.0000                        | 0                  | 25,508      | 25,508            | 0                     |
| 21,664 06/05/13 B BUY                   | 71135802             | 100.0000                        | 0                  | 21,664      | 21,664            | 0                     |
| 99,172 06/05/13 B BUY                   | 71136852             | 100.0000                        | 0                  | 99,172      | 99,172            | 0                     |
| 1,007,261 06/05/13 B BUY                | 71145703             | 100.0000                        | 0                  | 1,007,261   | 1,007,261         | 0                     |
| 2,009 06/05/13 B BUY                    | 71160889             | 100.0000                        | 0                  | 2,009       | 2,009             | 0                     |
| 199 06/06/13 B BUY                      | 30674669             | 100.0000                        | 0                  | 199         | 199               | 0                     |
| 31,919 06/06/13 S SELL                  | 71135812             | 100.0000                        | 0                  | 31,919      | 31,919            | 0                     |
| 60,585 06/06/13 B BUY                   | 71136855             | 100.0000                        | 0                  | 60,585      | 60,585            | 0                     |
| 18,153 06/06/13 B BUY                   | 71145710             | 100.0000                        | 0                  | 18,153      | 18,153            | 0                     |
| 1,810 06/06/13 S SELL                   | 71160897             | 100.0000                        | 0                  | 1,810       | 1,810             | 0                     |
| 88 06/07/13 B BUY                       | 30674674             | 100.0000                        | 0                  | 88          | 88                | 0                     |
| 11,895 06/07/13 B BUY                   | 71135827             | 100.0000                        | 0                  | 11,895      | 11,895            | 0                     |
| 44,245 06/07/13 B BUY                   | 71136860             | 100.0000                        | 0                  | 44,245      | 44,245            | 0                     |
| 23,190 06/07/13 B BUY                   | 71145723             | 100.0000                        | 0                  | 23,190      | 23,190            | 0                     |
| 90,351 06/07/13 S SELL                  | 71160908             | 100.0000                        | 0                  | 90,351      | 90,351            | 0                     |
| 3,587 06/10/13 B BUY                    | 30674678             | 100.0000                        | 0                  | 3,587       | 3,587             | 0                     |
| 36,886 06/10/13 S SELL                  | 71135843             | 100.0000                        | 0                  | 36,886      | 36,886            | 0                     |
| 34,515 06/10/13 B BUY                   | 71136862             | 100.0000                        | 0                  | 34,515      | 34,515            | 0                     |
| 11,067 06/10/13 B BUY                   | 71145725             | 100.0000                        | 0                  | 11,067      | 11,067            | 0                     |
| 129,037 06/10/13 S SELL                 | 71160923             | 100.0000                        | 0                  | 129,037     | 129,037           | 0                     |
| 1,062 06/11/13 B BUY                    | 30674689             | 100.0000                        | 0                  | 1,062       | 1,062             | 0                     |
| 14,555 06/11/13 S SELL                  | 71135852             | 100.0000                        | 0                  | 14,555      | 14,555            | 0                     |
| 31,521 06/11/13 S SELL                  | 71136863             | 100.0000                        | 0                  | 31,521      | 31,521            | 0                     |
| 2,320 06/11/13 S SELL                   | 71145728             | 100.0000                        | 0                  | 2,320       | 2,320             | 0                     |
| 290,090 06/11/13 S SELL                 | 71160932             | 100.0000                        | 0                  | 290,090     | 290,090           | 0                     |
| 525 06/12/13 B BUY                      | 30674698             | 100.0000                        | 0                  | 525         | 525               | 0                     |
| 125,486 06/12/13 B BUY                  | 71135857             | 100.0000                        | 0                  | 125,486     | 125,486           | 0                     |
| 353 06/12/13 B BUY                      | 71145732             | 100.0000                        | 0                  | 353         | 353               | 0                     |
| 255,595 06/12/13 B BUY                  | 71160940             | 100.0000                        | 0                  | 255,595     | 255,595           | 0                     |
| 16,159 06/13/13 B BUY                   | 30674700             | 100.0000                        | 0                  | 16,159      | 16,159            | 0                     |

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SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
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BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF |               | EXPENSES | 936,057,429   |               | 5% VALUE OF |   | NET GAIN OR (LOSS) |
|----------------------------|----------------------|--------------------------|---------------|----------|---------------|---------------|-------------|---|--------------------|
|                            |                      | PURCHASE PRICE           | SELLING PRICE |          | COST OF ASSET | CURRENT VALUE |             |   |                    |
| 18,739 06/13/13 B BUY      | 71135861             | 100.0000                 |               | 0        | 18,739        | 18,739        |             | 0 |                    |
| 4,738 06/13/13 B BUY       | 71136866             | 100.0000                 |               | 0        | 4,738         | 4,738         |             | 0 |                    |
| 762 06/13/13 S SELL        | 71145746             | 100.0000                 |               |          | 762           | 762           |             | 0 |                    |
| 27,230 06/13/13 S SELL     | 71160952             | 100.0000                 |               | 0        | 27,230        | 27,230        |             | 0 |                    |
| 1,153 06/14/13 B BUY       | 30674721             | 100.0000                 |               | 0        | 1,153         | 1,153         |             | 0 |                    |
| 2,429 06/14/13 B BUY       | 71135871             | 100.0000                 |               | 0        | 2,429         | 2,429         |             | 0 |                    |
| 258 06/14/13 B BUY         | 71145748             | 100.0000                 |               | 0        | 258           | 258           |             | 0 |                    |
| 101,963 06/14/13 B BUY     | 71160969             | 100.0000                 |               | 0        | 101,963       | 101,963       |             | 0 |                    |
| 571 06/17/13 B BUY         | 30674725             | 100.0000                 |               | 0        | 571           | 571           |             | 0 |                    |
| 5,059 06/17/13 B BUY       | 71135882             | 100.0000                 |               | 0        | 5,059         | 5,059         |             | 0 |                    |
| 6,589 06/17/13 B BUY       | 71136870             | 100.0000                 |               | 0        | 6,589         | 6,589         |             | 0 |                    |
| 1,252,666 06/17/13 S SELL  | 71145759             | 100.0000                 |               | 0        | 1,252,666     | 1,252,666     |             | 0 |                    |
| 68,493 06/17/13 S SELL     | 71160983             | 100.0000                 |               | 0        | 68,493        | 68,493        |             | 0 |                    |
| 284 06/18/13 B BUY         | 30674768             | 100.0000                 |               | 0        | 284           | 284           |             | 0 |                    |
| 8,984 06/18/13 B BUY       | 71135889             | 100.0000                 |               | 0        | 8,984         | 8,984         |             | 0 |                    |
| 102,340 06/18/13 B BUY     | 71160996             | 100.0000                 |               | 0        | 102,340       | 102,340       |             | 0 |                    |
| 688 06/19/13 B BUY         | 30674779             | 100.0000                 |               | 0        | 688           | 688           |             | 0 |                    |
| 18,066 06/19/13 S SELL     | 71135896             | 100.0000                 |               | 0        | 18,066        | 18,066        |             | 0 |                    |
| 384 06/19/13 S SELL        | 71145762             | 100.0000                 |               | 0        | 384           | 384           |             | 0 |                    |
| 32,521 06/19/13 S SELL     | 71161010             | 100.0000                 |               | 0        | 32,521        | 32,521        |             | 0 |                    |
| 14 06/20/13 B BUY          | 30674782             | 100.0000                 |               | 0        | 14            | 14            |             | 0 |                    |
| 101,859 06/20/13 B BUY     | 71135906             | 100.0000                 |               | 0        | 101,859       | 101,859       |             | 0 |                    |
| 145,979 06/20/13 B BUY     | 71145767             | 100.0000                 |               | 0        | 145,979       | 145,979       |             | 0 |                    |
| 15,256 06/20/13 B BUY      | 71161022             | 100.0000                 |               | 0        | 15,256        | 15,256        |             | 0 |                    |
| 24,591 06/21/13 S SELL     | 30674786             | 100.0000                 |               | 0        | 24,591        | 24,591        |             | 0 |                    |
| 123,484 06/21/13 B BUY     | 71135927             | 100.0000                 |               | 0        | 123,484       | 123,484       |             | 0 |                    |
| 5,767 06/21/13 B BUY       | 71136873             | 100.0000                 |               | 0        | 5,767         | 5,767         |             | 0 |                    |
| 293 06/21/13 B BUY         | 71145769             | 100.0000                 |               | 0        | 293           | 293           |             | 0 |                    |
| 272,517 06/21/13 B BUY     | 71161036             | 100.0000                 |               | 0        | 272,517       | 272,517       |             | 0 |                    |
| 62 06/24/13 B BUY          | 30674796             | 100.0000                 |               | 0        | 62            | 62            |             | 0 |                    |
| 182,476 06/24/13 S SELL    | 71135943             | 100.0000                 |               | 0        | 182,476       | 182,476       |             | 0 |                    |
| 42,500 06/24/13 S SELL     | 71136874             | 100.0000                 |               | 0        | 42,500        | 42,500        |             | 0 |                    |
| 64,466 06/24/13 S SELL     | 71145800             | 100.0000                 |               | 0        | 64,466        | 64,466        |             | 0 |                    |
| 131,241 06/24/13 B BUY     | 71161042             | 100.0000                 |               | 0        | 131,241       | 131,241       |             | 0 |                    |
| 3,918 06/25/13 B BUY       | 30674800             | 100.0000                 |               | 0        | 3,918         | 3,918         |             | 0 |                    |
| 34,559 06/25/13 B BUY      | 71135974             | 100.0000                 |               | 0        | 34,559        | 34,559        |             | 0 |                    |
| 205,669 06/25/13 S SELL    | 71161058             | 100.0000                 |               | 0        | 205,669       | 205,669       |             | 0 |                    |
| 107 06/26/13 B BUY         | 30674807             | 100.0000                 |               | 0        | 107           | 107           |             | 0 |                    |
| 38,609 06/26/13 B BUY      | 71136006             | 100.0000                 |               | 0        | 38,609        | 38,609        |             | 0 |                    |
| 6,077 06/26/13 B BUY       | 71136877             | 100.0000                 |               | 0        | 6,077         | 6,077         |             | 0 |                    |
| 398 06/26/13 B BUY         | 71145804             | 100.0000                 |               | 0        | 398           | 398           |             | 0 |                    |
| 25,044 06/26/13 S SELL     | 71161068             | 100.0000                 |               | 0        | 25,044        | 25,044        |             | 0 |                    |
| 1,061 06/27/13 B BUY       | 30674818             | 100.0000                 |               | 0        | 1,061         | 1,061         |             | 0 |                    |
| 1,226 06/27/13 S SELL      | 71136016             | 100.0000                 |               | 0        | 1,226         | 1,226         |             | 0 |                    |
| 3,315 06/27/13 B BUY       | 71136961             | 100.0000                 |               | 0        | 3,315         | 3,315         |             | 0 |                    |
| 227,016 06/27/13 S SELL    | 71145808             | 100.0000                 |               | 0        | 227,016       | 227,016       |             | 0 |                    |
| 73,481 06/27/13 B BUY      | 71161078             | 100.0000                 |               | 0        | 73,481        | 73,481        |             | 0 |                    |

## Schedule 2

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SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

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DECEMBER 31, 2013

BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |                                 | EXPENSES | COST OF ASSET | 5% VALUE OF   |               | NET GAIN<br>OR (LOSS) |
|----------------------------|----------------------|---------------------------------|---------------------------------|----------|---------------|---------------|---------------|-----------------------|
|                            |                      | PURCHASE PRICE<br>SELLING PRICE | PURCHASE PRICE<br>SELLING PRICE |          |               | CURRENT VALUE | CURRENT VALUE |                       |
| 3,555 06/28/13 B BUY       | 30675389             | 100.0000                        | 100.0000                        | 0        | 3,555         | 3,555         | 0             | 0                     |
| 718,502 06/28/13 B BUY     | 71136026             | 100.0000                        | 100.0000                        | 0        | 718,502       | 718,502       | 0             | 0                     |
| 9,107 06/28/13 B BUY       | 71136973             | 100.0000                        | 100.0000                        | 0        | 9,107         | 9,107         | 0             | 0                     |
| 98,328 06/28/13 S SELL     | 71145813             | 100.0000                        | 100.0000                        | 0        | 98,328        | 98,328        | 0             | 0                     |
| 43,965 06/28/13 B BUY      | 71161103             | 100.0000                        | 100.0000                        | 0        | 43,965        | 43,965        | 0             | 0                     |
| 477 07/01/13 B BUY         | 30675685             | 100.0000                        | 100.0000                        | 0        | 477           | 477           | 0             | 0                     |
| 954,664 07/01/13 S SELL    | 71136032             | 100.0000                        | 100.0000                        | 0        | 954,664       | 954,664       | 0             | 0                     |
| 167,996 07/01/13 S SELL    | 71136980             | 100.0000                        | 100.0000                        | 0        | 167,996       | 167,996       | 0             | 0                     |
| 4,676,428 07/01/13 S SELL  | 71145859             | 100.0000                        | 100.0000                        | 0        | 4,676,428     | 4,676,428     | 0             | 0                     |
| 27,069 07/01/13 B BUY      | 71161118             | 100.0000                        | 100.0000                        | 0        | 27,069        | 27,069        | 0             | 0                     |
| 93,916 07/02/13 B BUY      | 30675692             | 100.0000                        | 100.0000                        | 0        | 93,916        | 93,916        | 0             | 0                     |
| 786,756 07/02/13 B BUY     | 71136038             | 100.0000                        | 100.0000                        | 0        | 786,756       | 786,756       | 0             | 0                     |
| 355,606 07/02/13 S SELL    | 71136981             | 100.0000                        | 100.0000                        | 0        | 355,606       | 355,606       | 0             | 0                     |
| 2,000,000 07/02/13 B BUY   | 71145861             | 100.0000                        | 100.0000                        | 0        | 2,000,000     | 2,000,000     | 0             | 0                     |
| 78,212 07/02/13 B BUY      | 71161133             | 100.0000                        | 100.0000                        | 0        | 78,212        | 78,212        | 0             | 0                     |
| 62,743 07/03/13 S SELL     | 30675715             | 100.0000                        | 100.0000                        | 0        | 62,743        | 62,743        | 0             | 0                     |
| 37,993 07/03/13 B BUY      | 71136044             | 100.0000                        | 100.0000                        | 0        | 37,993        | 37,993        | 0             | 0                     |
| 1,002,432 07/03/13 B BUY   | 71145873             | 100.0000                        | 100.0000                        | 0        | 1,002,432     | 1,002,432     | 0             | 0                     |
| 239,488 07/03/13 B BUY     | 71161147             | 100.0000                        | 100.0000                        | 0        | 239,488       | 239,488       | 0             | 0                     |
| 22,598 07/05/13 B BUY      | 30675717             | 100.0000                        | 100.0000                        | 0        | 22,598        | 22,598        | 0             | 0                     |
| 13,339 07/05/13 B BUY      | 71136051             | 100.0000                        | 100.0000                        | 0        | 13,339        | 13,339        | 0             | 0                     |
| 21,316 07/05/13 B BUY      | 71145880             | 100.0000                        | 100.0000                        | 0        | 21,316        | 21,316        | 0             | 0                     |
| 37,490 07/05/13 S SELL     | 71161159             | 100.0000                        | 100.0000                        | 0        | 37,490        | 37,490        | 0             | 0                     |
| 71,275 07/08/13 B BUY      | 30675723             | 100.0000                        | 100.0000                        | 0        | 71,275        | 71,275        | 0             | 0                     |
| 30,880 07/08/13 S SELL     | 71136065             | 100.0000                        | 100.0000                        | 0        | 30,880        | 30,880        | 0             | 0                     |
| 37,381 07/08/13 S SELL     | 71136990             | 100.0000                        | 100.0000                        | 0        | 37,381        | 37,381        | 0             | 0                     |
| 76,871 07/08/13 S SELL     | 71145896             | 100.0000                        | 100.0000                        | 0        | 76,871        | 76,871        | 0             | 0                     |
| 38,745 07/08/13 S SELL     | 71161164             | 100.0000                        | 100.0000                        | 0        | 38,745        | 38,745        | 0             | 0                     |
| 1,163 07/09/13 B BUY       | 30675762             | 100.0000                        | 100.0000                        | 0        | 1,163         | 1,163         | 0             | 0                     |
| 2,931 07/09/13 B BUY       | 71136068             | 100.0000                        | 100.0000                        | 0        | 2,931         | 2,931         | 0             | 0                     |
| 16,399 07/09/13 S SELL     | 71136992             | 100.0000                        | 100.0000                        | 0        | 16,399        | 16,399        | 0             | 0                     |
| 382 07/09/13 B BUY         | 71145901             | 100.0000                        | 100.0000                        | 0        | 382           | 382           | 0             | 0                     |
| 159,364 07/09/13 S SELL    | 71161174             | 100.0000                        | 100.0000                        | 0        | 159,364       | 159,364       | 0             | 0                     |
| 1,735 07/10/13 B BUY       | 30675770             | 100.0000                        | 100.0000                        | 0        | 1,735         | 1,735         | 0             | 0                     |
| 81,368 07/10/13 S SELL     | 71136100             | 100.0000                        | 100.0000                        | 0        | 81,368        | 81,368        | 0             | 0                     |
| 2,668 07/10/13 B BUY       | 71145907             | 100.0000                        | 100.0000                        | 0        | 2,668         | 2,668         | 0             | 0                     |
| 3,192 07/10/13 B BUY       | 71161189             | 100.0000                        | 100.0000                        | 0        | 3,192         | 3,192         | 0             | 0                     |
| 41,712 07/11/13 B BUY      | 30675777             | 100.0000                        | 100.0000                        | 0        | 41,712        | 41,712        | 0             | 0                     |
| 299,743 07/11/13 S SELL    | 71136106             | 100.0000                        | 100.0000                        | 0        | 299,743       | 299,743       | 0             | 0                     |
| 140 07/11/13 S SELL        | 71145912             | 100.0000                        | 100.0000                        | 0        | 140           | 140           | 0             | 0                     |
| 24,232 07/11/13 B BUY      | 71161200             | 100.0000                        | 100.0000                        | 0        | 24,232        | 24,232        | 0             | 0                     |
| 2,478 07/12/13 S SELL      | 30675779             | 100.0000                        | 100.0000                        | 0        | 2,478         | 2,478         | 0             | 0                     |
| 82,285 07/12/13 S SELL     | 71136112             | 100.0000                        | 100.0000                        | 0        | 82,285        | 82,285        | 0             | 0                     |
| 11,790 07/12/13 B BUY      | 71136995             | 100.0000                        | 100.0000                        | 0        | 11,790        | 11,790        | 0             | 0                     |
| 354 07/12/13 B BUY         | 71145915             | 100.0000                        | 100.0000                        | 0        | 354           | 354           | 0             | 0                     |
| 239,679 07/12/13 B BUY     | 71161212             | 100.0000                        | 100.0000                        | 0        | 239,679       | 239,679       | 0             | 0                     |
| 1,950 07/15/13 B BUY       | 30675812             | 100.0000                        | 100.0000                        | 0        | 1,950         | 1,950         | 0             | 0                     |

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 SCHEDULE H (FORM 5500 - 4J-3)  
 SCHEDULE OF REPORTABLE TRANSACTIONS  
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BASE CURRENCY: USD

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF |               | EXPENSES | COST OF ASSET | 5% VALUE OF   |  | NET GAIN OR (LOSS) |
|----------------------------|----------------------|--------------------------|---------------|----------|---------------|---------------|--|--------------------|
|                            |                      | PURCHASE PRICE           | SELLING PRICE |          |               | CURRENT VALUE |  |                    |
| 23, -44 07/15/13 S SELL    | 71136119             | 100.0000                 |               | 0        | 23,144        | 23,144        |  | 0                  |
| 21,723 07/15/13 B BUY      | 71137000             | 100.0000                 |               | 0        | 21,723        | 21,723        |  | 0                  |
| 567,833 07/15/13 S SELL    | 71145930             | 100.0000                 |               | 0        | 567,833       | 567,833       |  | 0                  |
| 351 07/15/13 B BUY         | 71161216             | 100.0000                 |               | 0        | 351           | 351           |  | 0                  |
| -15 07/16/13 B BUY         | 30675818             | 100.0000                 |               | 0        | 115           | 115           |  | 0                  |
| 20,638 07/16/13 B BUY      | 71136123             | 100.0000                 |               | 0        | 20,638        | 20,638        |  | 0                  |
| 4,614 07/16/13 S SELL      | 71145946             | 100.0000                 |               | 0        | 4,614         | 4,614         |  | 0                  |
| 109,516 07/16/13 B BUY     | 71161231             | 100.0000                 |               | 0        | 109,516       | 109,516       |  | 0                  |
| 45 07/17/13 B BUY          | 30675822             | 100.0000                 |               | 0        | 45            | 45            |  | 0                  |
| 14,985 07/17/13 S SELL     | 71136127             | 100.0000                 |               | 0        | 14,985        | 14,985        |  | 0                  |
| 24, -90 07/17/13 S SELL    | 71161240             | 100.0000                 |               | 0        | 24,190        | 24,190        |  | 0                  |
| 19 07/18/13 B BUY          | 30675824             | 100.0000                 |               | 0        | 19            | 19            |  | 0                  |
| 37,241 07/18/13 B BUY      | 71136129             | 100.0000                 |               | 0        | 37,241        | 37,241        |  | 0                  |
| 34,911 07/18/13 B BUY      | 71145952             | 100.0000                 |               | 0        | 34,911        | 34,911        |  | 0                  |
| 90,347 07/18/13 B BUY      | 71161250             | 100.0000                 |               | 0        | 90,347        | 90,347        |  | 0                  |
| 1, -56 07/19/13 B BUY      | 30675826             | 100.0000                 |               | 0        | 1,156         | 1,156         |  | 0                  |
| 32, -95 07/19/13 S SELL    | 71136131             | 100.0000                 |               | 0        | 32,195        | 32,195        |  | 0                  |
| 1,584 07/19/13 B BUY       | 71145955             | 100.0000                 |               | 0        | 1,584         | 1,584         |  | 0                  |
| 14,068 07/19/13 S SELL     | 71161264             | 100.0000                 |               | 0        | 14,068        | 14,068        |  | 0                  |
| 228 07/22/13 B BUY         | 30675947             | 100.0000                 |               | 0        | 228           | 228           |  | 0                  |
| 6,656 07/22/13 S SELL      | 71136132             | 100.0000                 |               | 0        | 6,656         | 6,656         |  | 0                  |
| 305 07/22/13 S SELL        | 71145958             | 100.0000                 |               | 0        | 305           | 305           |  | 0                  |
| 137, -89 07/22/13 S SELL   | 71161275             | 100.0000                 |               | 0        | 137,189       | 137,189       |  | 0                  |
| -55 07/23/13 B BUY         | 30675958             | 100.0000                 |               | 0        | 155           | 155           |  | 0                  |
| 2,962 07/23/13 S SELL      | 71136133             | 100.0000                 |               | 0        | 2,962         | 2,962         |  | 0                  |
| 4,839 07/23/13 B BUY       | 71137003             | 100.0000                 |               | 0        | 4,839         | 4,839         |  | 0                  |
| 83,752 07/23/13 S SELL     | 71145960             | 100.0000                 |               | 0        | 83,752        | 83,752        |  | 0                  |
| 43,587 07/23/13 S SELL     | 71161292             | 100.0000                 |               | 0        | 43,587        | 43,587        |  | 0                  |
| -12 07/24/13 B BUY         | 30675962             | 100.0000                 |               | 0        | 112           | 112           |  | 0                  |
| 300 07/24/13 B BUY         | 71136135             | 100.0000                 |               | 0        | 300           | 300           |  | 0                  |
| 3,764 07/24/13 B BUY       | 71137005             | 100.0000                 |               | 0        | 3,764         | 3,764         |  | 0                  |
| 111,627 07/24/13 S SELL    | 71145963             | 100.0000                 |               | 0        | 111,627       | 111,627       |  | 0                  |
| 164, -97 07/24/13 S SELL   | 71161306             | 100.0000                 |               | 0        | 164,197       | 164,197       |  | 0                  |
| 153,728 07/25/13 S SELL    | 30675965             | 100.0000                 |               | 0        | 153,728       | 153,728       |  | 0                  |
| 30,846 07/25/13 B BUY      | 71161321             | 100.0000                 |               | 0        | 30,846        | 30,846        |  | 0                  |
| 700 07/26/13 B BUY         | 30675971             | 100.0000                 |               | 0        | 700           | 700           |  | 0                  |
| 21,210 07/26/13 B BUY      | 71137016             | 100.0000                 |               | 0        | 21,210        | 21,210        |  | 0                  |
| 202,754 07/26/13 B BUY     | 71145973             | 100.0000                 |               | 0        | 202,754       | 202,754       |  | 0                  |
| 11,058 07/26/13 S SELL     | 71161333             | 100.0000                 |               | 0        | 11,058        | 11,058        |  | 0                  |
| 147,925 07/29/13 S SELL    | 71137085             | 100.0000                 |               | 0        | 147,925       | 147,925       |  | 0                  |
| 410,927 07/29/13 S SELL    | 71161339             | 100.0000                 |               | 0        | 410,927       | 410,927       |  | 0                  |
| 930 07/30/13 B BUY         | 30675980             | 100.0000                 |               | 0        | 930           | 930           |  | 0                  |
| 553, -98 07/30/13 B BUY    | 71136180             | 100.0000                 |               | 0        | 553,198       | 553,198       |  | 0                  |
| 469,492 07/30/13 B BUY     | 71137087             | 100.0000                 |               | 0        | 469,492       | 469,492       |  | 0                  |
| 560 07/30/13 B BUY         | 71145976             | 100.0000                 |               | 0        | 560           | 560           |  | 0                  |
| 46,026 07/30/13 S SELL     | 71161344             | 100.0000                 |               | 0        | 46,026        | 46,026        |  | 0                  |
| 767 07/31/13 B BUY         | 30675998             | 100.0000                 |               | 0        | 767           | 767           |  | 0                  |

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        | EXPENSES | COST OF ASSET | 5% VALUE OF   | NET GAIN<br>OR (LOSS) |
|----------------------------|----------------------|---------------------------------|----------|---------------|---------------|-----------------------|
|                            |                      | PURCHASE PRICE<br>SELLING PRICE |          |               | CURRENT VALUE |                       |
| 364,727 07/31/13 B BUY     | 71136187             | 100.0000                        | 0        | 364,727       | 364,727       | 0                     |
| 368,060 07/31/13 S SELL    | 71137092             | 100.0000                        | 0        | 368,060       | 368,060       | 0                     |
| 43,811 07/31/13 B BUY      | 71161354             | 100.0000                        | 0        | 43,811        | 43,811        | 0                     |
| 20,227 08/01/13 B BUY      | 30676014             | 100.0000                        | 0        | 20,227        | 20,227        | 0                     |
| 7 08/01/13 B BUY           | 71136193             | 100.0000                        | 0        | 7             | 7             | 0                     |
| 411,292 08/01/13 B BUY     | 71137099             | 100.0000                        | 0        | 411,292       | 411,292       | 0                     |
| 5,466,993 08/01/13 S SELL  | 71146020             | 100.0000                        | 0        | 5,466,993     | 5,466,993     | 0                     |
| 59,871 08/01/13 B BUY      | 71161368             | 100.0000                        | 0        | 59,871        | 59,871        | 0                     |
| 7,497 08/02/13 B BUY       | 30676024             | 100.0000                        | 0        | 7,497         | 7,497         | 0                     |
| 978,295 08/02/13 S SELL    | 71136198             | 100.0000                        | 0        | 978,295       | 978,295       | 0                     |
| 2,998,717 08/02/13 B BUY   | 71146025             | 100.0000                        | 0        | 2,998,717     | 2,998,717     | 0                     |
| 74,103 08/02/13 B BUY      | 71161388             | 100.0000                        | 0        | 74,103        | 74,103        | 0                     |
| 29,652 08/05/13 S SELL     | 30676025             | 100.0000                        | 0        | 29,652        | 29,652        | 0                     |
| 14,505 08/05/13 B BUY      | 71136200             | 100.0000                        | 0        | 14,505        | 14,505        | 0                     |
| 2,965 08/05/13 S SELL      | 71137107             | 100.0000                        | 0        | 2,965         | 2,965         | 0                     |
| 1,004,576 08/05/13 B BUY   | 71146043             | 100.0000                        | 0        | 1,004,576     | 1,004,576     | 0                     |
| 133,885 08/05/13 B BUY     | 71161397             | 100.0000                        | 0        | 133,885       | 133,885       | 0                     |
| 11,260 08/06/13 B BUY      | 71136203             | 100.0000                        | 0        | 11,260        | 11,260        | 0                     |
| 14,730 08/06/13 S SELL     | 71137112             | 100.0000                        | 0        | 14,730        | 14,730        | 0                     |
| 21,479 08/06/13 B BUY      | 71146049             | 100.0000                        | 0        | 21,479        | 21,479        | 0                     |
| 69,653 08/06/13 B BUY      | 71161409             | 100.0000                        | 0        | 69,653        | 69,653        | 0                     |
| 327 08/07/13 B BUY         | 30676042             | 100.0000                        | 0        | 327           | 327           | 0                     |
| 1,007 08/07/13 B BUY       | 71136211             | 100.0000                        | 0        | 1,007         | 1,007         | 0                     |
| 33,523 08/07/13 S SELL     | 71137113             | 100.0000                        | 0        | 33,523        | 33,523        | 0                     |
| 2,636 08/07/13 B BUY       | 71146056             | 100.0000                        | 0        | 2,636         | 2,636         | 0                     |
| 74,455 08/07/13 B BUY      | 71161427             | 100.0000                        | 0        | 74,455        | 74,455        | 0                     |
| 218 08/08/13 B BUY         | 30676046             | 100.0000                        | 0        | 218           | 218           | 0                     |
| 20,991 08/08/13 B BUY      | 71136216             | 100.0000                        | 0        | 20,991        | 20,991        | 0                     |
| 14,280 08/08/13 S SELL     | 71137115             | 100.0000                        | 0        | 14,280        | 14,280        | 0                     |
| 340 08/08/13 B BUY         | 71146060             | 100.0000                        | 0        | 340           | 340           | 0                     |
| 61,449 08/08/13 B BUY      | 71161442             | 100.0000                        | 0        | 61,449        | 61,449        | 0                     |
| 25,471 08/09/13 S SELL     | 30676051             | 100.0000                        | 0        | 25,471        | 25,471        | 0                     |
| 204,347 08/09/13 S SELL    | 71136219             | 100.0000                        | 0        | 204,347       | 204,347       | 0                     |
| 5,660 08/09/13 B BUY       | 71137117             | 100.0000                        | 0        | 5,660         | 5,660         | 0                     |
| 790 08/09/13 B BUY         | 71146065             | 100.0000                        | 0        | 790           | 790           | 0                     |
| 251,747 08/09/13 S SELL    | 71161455             | 100.0000                        | 0        | 251,747       | 251,747       | 0                     |
| 52 08/12/13 B BUY          | 30676055             | 100.0000                        | 0        | 52            | 52            | 0                     |
| 133,605 08/12/13 B BUY     | 71136225             | 100.0000                        | 0        | 133,605       | 133,605       | 0                     |
| 49,319 08/12/13 S SELL     | 71137118             | 100.0000                        | 0        | 49,319        | 49,319        | 0                     |
| 858 08/12/13 B BUY         | 71146068             | 100.0000                        | 0        | 858           | 858           | 0                     |
| 130,852 08/12/13 S SELL    | 71161487             | 100.0000                        | 0        | 130,852       | 130,852       | 0                     |
| 28,064 08/13/13 B BUY      | 71136229             | 100.0000                        | 0        | 28,064        | 28,064        | 0                     |
| 17 08/13/13 S SELL         | 71146075             | 100.0000                        | 0        | 17            | 17            | 0                     |
| 271,231 08/13/13 B BUY     | 71161498             | 100.0000                        | 0        | 271,231       | 271,231       | 0                     |
| 136 08/14/13 B BUY         | 30676059             | 100.0000                        | 0        | 136           | 136           | 0                     |
| 31,774 08/14/13 B BUY      | 71136234             | 100.0000                        | 0        | 31,774        | 31,774        | 0                     |
| 107,204 08/14/13 B BUY     | 71161510             | 100.0000                        | 0        | 107,204       | 107,204       | 0                     |

## Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |          |          |   | SPX CORPORATION                 |         | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |  |
|--------------------------------------------------------------------------------------------------------------------------|----------|----------|---|---------------------------------|---------|-----------------------------------------------------------|--|
| IDENTITY OF PARTY INVOLVED                                                                                               |          |          |   | BASE CURRENCY: USD              |         | THROUGH                                                   |  |
| DESCRIPTION OF ASSET                                                                                                     |          |          |   | BASED ON MARKET VALUE OF        |         | 5% VALUE OF                                               |  |
| PARTY INVOLVED                                                                                                           |          |          |   | PURCHASE PRICE<br>SELLING PRICE |         | CURRENT VALUE                                             |  |
| EXPENSES                                                                                                                 |          |          |   | COST OF ASSET                   |         | NET GAIN<br>OR (LOSS)                                     |  |
| 22,133 08/15/13 B BUY                                                                                                    | 30676062 | 100.0000 | 0 | 22,133                          | 22,133  | 0                                                         |  |
| 10,601 08/15/13 B BUY                                                                                                    | 71136242 | 100.0000 | 0 | 10,601                          | 10,601  | 0                                                         |  |
| 19,364 08/15/13 B BUY                                                                                                    | 71137127 | 100.0000 | 0 | 19,364                          | 19,364  | 0                                                         |  |
| 190,043 08/15/13 S SELL                                                                                                  | 71146084 | 100.0000 | 0 | 190,043                         | 190,043 | 0                                                         |  |
| 73,871 08/15/13 B BUY                                                                                                    | 71161525 | 100.0000 | 0 | 73,871                          | 73,871  | 0                                                         |  |
| 31 08/16/13 B BUY                                                                                                        | 30676075 | 100.0000 | 0 | 31                              | 31      | 0                                                         |  |
| 21,124 08/16/13 S SELL                                                                                                   | 71136249 | 100.0000 | 0 | 21,124                          | 21,124  | 0                                                         |  |
| 2,040 08/16/13 B BUY                                                                                                     | 71137132 | 100.0000 | 0 | 2,040                           | 2,040   | 0                                                         |  |
| 297,617 08/16/13 S SELL                                                                                                  | 71146090 | 100.0000 | 0 | 297,617                         | 297,617 | 0                                                         |  |
| 7,747 08/16/13 S SELL                                                                                                    | 71161537 | 100.0000 | 0 | 7,747                           | 7,747   | 0                                                         |  |
| 224 08/19/13 B BUY                                                                                                       | 30676076 | 100.0000 | 0 | 224                             | 224     | 0                                                         |  |
| 6,892 08/19/13 S SELL                                                                                                    | 71136256 | 100.0000 | 0 | 6,892                           | 6,892   | 0                                                         |  |
| 17,798 08/19/13 B BUY                                                                                                    | 71137135 | 100.0000 | 0 | 17,798                          | 17,798  | 0                                                         |  |
| 435,996 08/19/13 S SELL                                                                                                  | 71146097 | 100.0000 | 0 | 435,996                         | 435,996 | 0                                                         |  |
| 42,532 08/19/13 B BUY                                                                                                    | 71161541 | 100.0000 | 0 | 42,532                          | 42,532  | 0                                                         |  |
| 403 08/20/13 B BUY                                                                                                       | 30676079 | 100.0000 | 0 | 403                             | 403     | 0                                                         |  |
| 8,468 08/20/13 S SELL                                                                                                    | 71136264 | 100.0000 | 0 | 8,468                           | 8,468   | 0                                                         |  |
| 5,358 08/20/13 S SELL                                                                                                    | 71137136 | 100.0000 | 0 | 5,358                           | 5,358   | 0                                                         |  |
| 3,127 08/20/13 B BUY                                                                                                     | 71146104 | 100.0000 | 0 | 3,127                           | 3,127   | 0                                                         |  |
| 87,329 08/20/13 S SELL                                                                                                   | 71161554 | 100.0000 | 0 | 87,329                          | 87,329  | 0                                                         |  |
| 18 08/21/13 B BUY                                                                                                        | 30676087 | 100.0000 | 0 | 18                              | 18      | 0                                                         |  |
| 21,178 08/21/13 B BUY                                                                                                    | 71136269 | 100.0000 | 0 | 21,178                          | 21,178  | 0                                                         |  |
| 46,465 08/21/13 S SELL                                                                                                   | 71137137 | 100.0000 | 0 | 46,465                          | 46,465  | 0                                                         |  |
| 43,145 08/21/13 S SELL                                                                                                   | 71146108 | 100.0000 | 0 | 43,145                          | 43,145  | 0                                                         |  |
| 135,944 08/21/13 S SELL                                                                                                  | 71161559 | 100.0000 | 0 | 135,944                         | 135,944 | 0                                                         |  |
| 469 08/22/13 B BUY                                                                                                       | 30676093 | 100.0000 | 0 | 469                             | 469     | 0                                                         |  |
| 16,306 08/22/13 S SELL                                                                                                   | 71136276 | 100.0000 | 0 | 16,306                          | 16,306  | 0                                                         |  |
| 285 08/22/13 B BUY                                                                                                       | 71146113 | 100.0000 | 0 | 285                             | 285     | 0                                                         |  |
| 152,512 08/22/13 S SELL                                                                                                  | 71161568 | 100.0000 | 0 | 152,512                         | 152,512 | 0                                                         |  |
| 4,722 08/23/13 B BUY                                                                                                     | 30676099 | 100.0000 | 0 | 4,722                           | 4,722   | 0                                                         |  |
| 4,385 08/23/13 B BUY                                                                                                     | 71136281 | 100.0000 | 0 | 4,385                           | 4,385   | 0                                                         |  |
| 216 08/23/13 B BUY                                                                                                       | 71137140 | 100.0000 | 0 | 216                             | 216     | 0                                                         |  |
| 16,610 08/23/13 B BUY                                                                                                    | 71161574 | 100.0000 | 0 | 16,610                          | 16,610  | 0                                                         |  |
| 23,783 08/26/13 B BUY                                                                                                    | 30676109 | 100.0000 | 0 | 23,783                          | 23,783  | 0                                                         |  |
| 5,775 08/26/13 B BUY                                                                                                     | 71136292 | 100.0000 | 0 | 5,775                           | 5,775   | 0                                                         |  |
| 37,674 08/26/13 S SELL                                                                                                   | 71161583 | 100.0000 | 0 | 37,674                          | 37,674  | 0                                                         |  |
| 2,806 08/27/13 B BUY                                                                                                     | 30676113 | 100.0000 | 0 | 2,806                           | 2,806   | 0                                                         |  |
| 26,509 08/27/13 B BUY                                                                                                    | 71136313 | 100.0000 | 0 | 26,509                          | 26,509  | 0                                                         |  |
| 990,604 08/27/13 S SELL                                                                                                  | 71146123 | 100.0000 | 0 | 990,604                         | 990,604 | 0                                                         |  |
| 2,479 08/27/13 S SELL                                                                                                    | 71161590 | 100.0000 | 0 | 2,479                           | 2,479   | 0                                                         |  |
| 285 08/28/13 B BUY                                                                                                       | 30676119 | 100.0000 | 0 | 285                             | 285     | 0                                                         |  |
| 22,922 08/28/13 B BUY                                                                                                    | 71136344 | 100.0000 | 0 | 22,922                          | 22,922  | 0                                                         |  |
| 5,784 08/28/13 B BUY                                                                                                     | 71161602 | 100.0000 | 0 | 5,784                           | 5,784   | 0                                                         |  |
| 658 08/29/13 B BUY                                                                                                       | 30676122 | 100.0000 | 0 | 658                             | 658     | 0                                                         |  |
| 310,965 08/29/13 B BUY                                                                                                   | 71136347 | 100.0000 | 0 | 310,965                         | 310,965 | 0                                                         |  |
| 100,171 08/29/13 S SELL                                                                                                  | 71146126 | 100.0000 | 0 | 100,171                         | 100,171 | 0                                                         |  |
| 19,367 08/29/13 B BUY                                                                                                    | 71161616 | 100.0000 | 0 | 19,367                          | 19,367  | 0                                                         |  |

## Schedule 2

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SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

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DECEMBER 31, 2012  
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BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |          | EXPENSES | COST OF ASSET | 5% VALUE OF | CURRENT VALUE | NET GAIN<br>OR<br>(LOSS) |
|----------------------------|----------------------|---------------------------------|----------|----------|---------------|-------------|---------------|--------------------------|
|                            |                      | PURCHASE PRICE<br>SELLING PRICE | VALUE OF |          |               |             |               |                          |
| 2,294 08/30/13 B BUY       | 30676186             | 100.0000                        | 0        | 0        | 2,294         | 2,294       | 2,294         | 0                        |
| 407,072 08/30/13 B BUY     | 71136353             | 100.0000                        | 0        | 0        | 407,072       | 407,072     | 407,072       | 0                        |
| 12,808 08/30/13 S SELL     | 71137211             | 100.0000                        | 0        | 0        | 12,808        | 12,808      | 12,808        | 0                        |
| 224 08/30/13 B BUY         | 71146129             | 100.0000                        | 0        | 0        | 224           | 224         | 224           | 0                        |
| 140,765 08/30/13 S SELL    | 71161630             | 100.0000                        | 0        | 0        | 140,765       | 140,765     | 140,765       | 0                        |
| 1,028 09/03/13 B BUY       | 30676189             | 100.0000                        | 0        | 0        | 1,028         | 1,028       | 1,028         | 0                        |
| 1,006,700 09/03/13 S SELL  | 71136358             | 100.0000                        | 0        | 0        | 1,006,700     | 1,006,700   | 1,006,700     | 0                        |
| 95,339 09/03/13 B BUY      | 71137216             | 100.0000                        | 0        | 0        | 95,339        | 95,339      | 95,339        | 0                        |
| 4,782,847 09/03/13 S SELL  | 71146178             | 100.0000                        | 0        | 0        | 4,782,847     | 4,782,847   | 4,782,847     | 0                        |
| 43,558 09/03/13 S SELL     | 71161647             | 100.0000                        | 0        | 0        | 43,558        | 43,558      | 43,558        | 0                        |
| 387 09/04/13 B BUY         | 30676195             | 100.0000                        | 0        | 0        | 387           | 387         | 387           | 0                        |
| 8,171 09/04/13 S SELL      | 71136364             | 100.0000                        | 0        | 0        | 8,171         | 8,171       | 8,171         | 0                        |
| 2,000,000 09/04/13 B BUY   | 71146180             | 100.0000                        | 0        | 0        | 2,000,000     | 2,000,000   | 2,000,000     | 0                        |
| 36,948 09/04/13 B BUY      | 71161662             | 100.0000                        | 0        | 0        | 36,948        | 36,948      | 36,948        | 0                        |
| 60,461 09/05/13 S SELL     | 30676196             | 100.0000                        | 0        | 0        | 60,461        | 60,461      | 60,461        | 0                        |
| 1,399,785 09/05/13 B BUY   | 71025759             | 100.0000                        | 0        | 0        | 1,399,785     | 1,399,785   | 1,399,785     | 0                        |
| 26,382 09/05/13 B BUY      | 71146192             | 100.0000                        | 0        | 0        | 26,382        | 26,382      | 26,382        | 0                        |
| 160,857 09/05/13 S SELL    | 71161670             | 100.0000                        | 0        | 0        | 160,857       | 160,857     | 160,857       | 0                        |
| 621 09/06/13 B BUY         | 30676208             | 100.0000                        | 0        | 0        | 621           | 621         | 621           | 0                        |
| 41,498 09/06/13 B BUY      | 71136373             | 100.0000                        | 0        | 0        | 41,498        | 41,498      | 41,498        | 0                        |
| 5,265 09/06/13 B BUY       | 71137228             | 100.0000                        | 0        | 0        | 5,265         | 5,265       | 5,265         | 0                        |
| 3,593 09/06/13 B BUY       | 71146199             | 100.0000                        | 0        | 0        | 3,593         | 3,593       | 3,593         | 0                        |
| 102,175 09/06/13 S SELL    | 71161683             | 100.0000                        | 0        | 0        | 102,175       | 102,175     | 102,175       | 0                        |
| 202 09/09/13 S SELL        | 30676217             | 100.0000                        | 0        | 0        | 202           | 202         | 202           | 0                        |
| 29,900 09/09/13 B BUY      | 71136378             | 100.0000                        | 0        | 0        | 29,900        | 29,900      | 29,900        | 0                        |
| 14,926 09/09/13 B BUY      | 71137231             | 100.0000                        | 0        | 0        | 14,926        | 14,926      | 14,926        | 0                        |
| 1,003,402 09/09/13 B BUY   | 71146213             | 100.0000                        | 0        | 0        | 1,003,402     | 1,003,402   | 1,003,402     | 0                        |
| 36,401 09/09/13 B BUY      | 71161696             | 100.0000                        | 0        | 0        | 36,401        | 36,401      | 36,401        | 0                        |
| 1,026 09/10/13 B BUY       | 30677251             | 100.0000                        | 0        | 0        | 1,026         | 1,026       | 1,026         | 0                        |
| 36,478 09/10/13 B BUY      | 71136383             | 100.0000                        | 0        | 0        | 36,478        | 36,478      | 36,478        | 0                        |
| 47,324 09/10/13 B BUY      | 71137235             | 100.0000                        | 0        | 0        | 47,324        | 47,324      | 47,324        | 0                        |
| 23,026 09/10/13 S SELL     | 71146219             | 100.0000                        | 0        | 0        | 23,026        | 23,026      | 23,026        | 0                        |
| 474,982 09/10/13 B BUY     | 71161710             | 100.0000                        | 0        | 0        | 474,982       | 474,982     | 474,982       | 0                        |
| 408 09/11/13 B BUY         | 30677306             | 100.0000                        | 0        | 0        | 408           | 408         | 408           | 0                        |
| 1,399,785 09/11/13 S SELL  | 71025760             | 100.0000                        | 0        | 0        | 1,399,785     | 1,399,785   | 1,399,785     | 0                        |
| 25,820 09/11/13 B BUY      | 71136483             | 100.0000                        | 0        | 0        | 25,820        | 25,820      | 25,820        | 0                        |
| 50,061 09/11/13 B BUY      | 71137305             | 100.0000                        | 0        | 0        | 50,061        | 50,061      | 50,061        | 0                        |
| 272 09/11/13 B BUY         | 71146221             | 100.0000                        | 0        | 0        | 272           | 272         | 272           | 0                        |
| 44,102 09/11/13 B BUY      | 71161793             | 100.0000                        | 0        | 0        | 44,102        | 44,102      | 44,102        | 0                        |
| 538 09/12/13 B BUY         | 30677314             | 100.0000                        | 0        | 0        | 538           | 538         | 538           | 0                        |
| 30,000,000 09/12/13 B BUY  | 70938221             | 100.0000                        | 0        | 0        | 30,000,000    | 30,000,000  | 30,000,000    | 0                        |
| 18,063 09/12/13 B BUY      | 71136496             | 100.0000                        | 0        | 0        | 18,063        | 18,063      | 18,063        | 0                        |
| 69,831 09/12/13 B BUY      | 71137307             | 100.0000                        | 0        | 0        | 69,831        | 69,831      | 69,831        | 0                        |
| 387 09/12/13 B BUY         | 71146224             | 100.0000                        | 0        | 0        | 387           | 387         | 387           | 0                        |
| 268,964 09/12/13 B BUY     | 71161819             | 100.0000                        | 0        | 0        | 268,964       | 268,964     | 268,964       | 0                        |
| 15,152,020 09/13/13 B BUY  | 30677318             | 100.0000                        | 0        | 0        | 15,152,020    | 15,152,020  | 15,152,020    | 0                        |
| 18,898,259 09/13/13 B BUY  | 71136507             | 100.0000                        | 0        | 0        | 18,898,259    | 18,898,259  | 18,898,259    | 0                        |

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SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

PAGE  
C 07103  
DECEMBER 31, 2012  
DECEMBER 31, 2013

BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET |          | BASED ON MARKET VALUE OF |          | 936,057,429 | 5% VALUE OF | NET GAIN OR (LOSS) |
|----------------------------|----------------------|----------|--------------------------|----------|-------------|-------------|--------------------|
|                            | BUY                  | SELL     | PURCHASE PRICE           | EXPENSES |             |             |                    |
| 40,670,200                 | 09/13/13             | B BUY    | 71137309                 | 0        | 40,670,200  | 40,670,200  | 0                  |
|                            | 211                  | 09/13/13 | B BUY                    | 71146228 | 211         | 211         | 0                  |
| 22,930,774                 | 09/13/13             | B BUY    | 71161834                 | 0        | 22,930,774  | 22,930,774  | 0                  |
|                            | 557                  | 09/16/13 | B BUY                    | 30677333 | 557         | 557         | 0                  |
| 133,329                    | 09/16/13             | S SELL   | 71136513                 | 0        | 133,329     | 133,329     | 0                  |
|                            | 6,302                | 09/16/13 | B BUY                    | 71137312 | 6,302       | 6,302       | 0                  |
| 183,212                    | 09/16/13             | S SELL   | 71146236                 | 0        | 183,212     | 183,212     | 0                  |
|                            | 1,286,751            | 09/16/13 | B BUY                    | 71161853 | 1,286,751   | 1,286,751   | 0                  |
| 50,864,025                 | 09/17/13             | B BUY    | 30677378                 | 0        | 369         | 369         | 0                  |
|                            | 70525783             | 09/17/13 | B BUY                    | 70525783 | 50,864,025  | 50,864,025  | 0                  |
| 1,099,362                  | 09/17/13             | B BUY    | 71136518                 | 0        | 1,099,362   | 1,099,362   | 0                  |
|                            | 71146241             | 09/17/13 | B BUY                    | 71146241 | 877         | 877         | 0                  |
| 63,525                     | 09/17/13             | B BUY    | 71161859                 | 0        | 63,525      | 63,525      | 0                  |
|                            | 30677383             | 09/18/13 | S SELL                   | 30677383 | 14,995,326  | 14,995,326  | 0                  |
| 50,864,025                 | 09/18/13             | S SELL   | 70525785                 | 0        | 50,864,025  | 50,864,025  | 0                  |
|                            | 30,000,000           | 09/18/13 | S SELL                   | 70938223 | 30,000,000  | 30,000,000  | 0                  |
| 19,962,416                 | 09/18/13             | S SELL   | 71136521                 | 0        | 19,962,416  | 19,962,416  | 0                  |
|                            | 41,373,614           | 09/18/13 | S SELL                   | 71137315 | 41,373,614  | 41,373,614  | 0                  |
| 247,241,025                | 09/18/13             | B BUY    | 71146254                 | 0        | 247,241,025 | 247,241,025 | 0                  |
|                            | 25,145,922           | 09/18/13 | S SELL                   | 71161868 | 25,145,922  | 25,145,922  | 0                  |
| 10,812                     | 09/19/13             | S SELL   | 71136523                 | 0        | 10,812      | 10,812      | 0                  |
|                            | 1,426                | 09/19/13 | B BUY                    | 71146259 | 1,426       | 1,426       | 0                  |
| 11,353                     | 09/19/13             | B BUY    | 71161884                 | 0        | 11,353      | 11,353      | 0                  |
|                            | 168,832              | 09/20/13 | S SELL                   | 30677389 | 168,832     | 168,832     | 0                  |
| 30,059                     | 09/20/13             | B BUY    | 71136526                 | 0        | 30,059      | 30,059      | 0                  |
|                            | 5,256                | 09/20/13 | B BUY                    | 71137317 | 5,256       | 5,256       | 0                  |
| 25,316                     | 09/20/13             | S SELL   | 71161898                 | 0        | 25,316      | 25,316      | 0                  |
|                            | 38                   | 09/23/13 | B BUY                    | 30677402 | 38          | 38          | 0                  |
| 7,895                      | 09/23/13             | S SELL   | 71136531                 | 0        | 7,895       | 7,895       | 0                  |
|                            | 90                   | 09/23/13 | S SELL                   | 71146263 | 90          | 90          | 0                  |
| 172,558                    | 09/23/13             | B BUY    | 71161910                 | 0        | 172,558     | 172,558     | 0                  |
|                            | 842                  | 09/24/13 | B BUY                    | 30677409 | 842         | 842         | 0                  |
| 5,063                      | 09/24/13             | S SELL   | 71136534                 | 0        | 5,063       | 5,063       | 0                  |
|                            | 67,426               | 09/24/13 | B BUY                    | 71161928 | 67,426      | 67,426      | 0                  |
| 717                        | 09/25/13             | B BUY    | 30677414                 | 0        | 717         | 717         | 0                  |
|                            | 28,861               | 09/25/13 | S SELL                   | 71136543 | 28,861      | 28,861      | 0                  |
| 2,113                      | 09/25/13             | B BUY    | 71137319                 | 0        | 2,113       | 2,113       | 0                  |
|                            | 56,160               | 09/25/13 | S SELL                   | 71146270 | 56,160      | 56,160      | 0                  |
| 182,381                    | 09/25/13             | S SELL   | 71161940                 | 0        | 182,381     | 182,381     | 0                  |
|                            | 8,523                | 09/26/13 | B BUY                    | 30677422 | 8,523       | 8,523       | 0                  |
| 6,540                      | 09/26/13             | S SELL   | 71136554                 | 0        | 6,540       | 6,540       | 0                  |
|                            | 46,224               | 09/26/13 | S SELL                   | 71146276 | 46,224      | 46,224      | 0                  |
| 79,286                     | 09/26/13             | S SELL   | 71161950                 | 0        | 79,286      | 79,286      | 0                  |
|                            | 1,271                | 09/27/13 | B BUY                    | 30677440 | 1,271       | 1,271       | 0                  |
| 27,423                     | 09/27/13             | S SELL   | 71136583                 | 0        | 27,423      | 27,423      | 0                  |
|                            | 776                  | 09/27/13 | S SELL                   | 71146280 | 776         | 776         | 0                  |
| 11,974                     | 09/27/13             | S SELL   | 71161967                 | 0        | 11,974      | 11,974      | 0                  |
|                            |                      |          |                          |          |             |             | 46,802,871         |

Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |                                     |                                 |          | SPX CORPORATION    |             | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                       |
|--------------------------------------------------------------------------------------------------------------------------|-------------------------------------|---------------------------------|----------|--------------------|-------------|-----------------------------------------------------------|-----------------------|
|                                                                                                                          |                                     |                                 |          | BASE CURRENCY: USD |             | THROUGH                                                   |                       |
| IDENTITY OF PARTY INVOLVED                                                                                               | DESCRIPTION OF ASSET                | BASED ON MARKET VALUE OF        | EXPENSES | COST OF ASSET      | 5% VALUE OF | CURRENT VALUE                                             | NET GAIN<br>OR (LOSS) |
|                                                                                                                          |                                     |                                 |          |                    |             |                                                           |                       |
|                                                                                                                          |                                     | PURCHASE PRICE<br>SELLING PRICE |          |                    |             |                                                           |                       |
| BROKER 0800102 MEMO                                                                                                      | 2,836 09/30/13 B BUY 30677442       | 100.0000                        | 0        | 2,836              |             | 2,836                                                     | 0                     |
|                                                                                                                          | 16,-39 09/30/13 S SELL 71136593     | 100.0000                        | 0        | 16,139             |             | 16,139                                                    | 0                     |
|                                                                                                                          | 64,658 09/30/13 B BUY 71161982      | 100.0000                        | 0        | 64,658             |             | 64,658                                                    | 0                     |
|                                                                                                                          | 92,457,928 10/01/13 B BUY 1018      | 100.0000                        | 0        | 92,457,928         |             | 92,457,928                                                | 0                     |
|                                                                                                                          | MEMO                                |                                 |          |                    |             |                                                           |                       |
| BROKER 0800003 MEMO-MASTER NOTES/POOLED FUNDS                                                                            | 220 10/01/13 B BUY 30677465         | 100.0000                        | 0        | 220                |             | 220                                                       | 0                     |
|                                                                                                                          | 14 10/01/13 B BUY 70525787          | 100.0000                        | 0        | 14                 |             | 14                                                        | 0                     |
|                                                                                                                          | 49 10/01/13 B BUY 70938225          | 100.0000                        | 0        | 49                 |             | 49                                                        | 0                     |
|                                                                                                                          | 2 10/01/13 B BUY 71025765           | 100.0000                        | 0        | 2                  |             | 2                                                         | 0                     |
|                                                                                                                          | 85,915 10/01/13 S SELL 71136601     | 100.0000                        | 0        | 85,915             |             | 85,915                                                    | 0                     |
| 71,015,432 10/01/13 S SELL                                                                                               | 5,448 10/01/13 B BUY 71137322       | 100.0000                        | 0        | 5,448              |             | 5,448                                                     | 0                     |
|                                                                                                                          | 71,015,432 10/01/13 S SELL 71146326 | 100.0000                        | 0        | 71,015,432         |             | 71,015,432                                                | 0                     |
|                                                                                                                          | 56,-32 10/01/13 B BUY 71161998      | 100.0000                        | 0        | 56,132             |             | 56,132                                                    | 0                     |
|                                                                                                                          | 1,342,964 10/02/13 S SELL 1004      | 100.0000                        | 0        | 1,342,964          |             | 1,342,964                                                 | 0                     |
|                                                                                                                          | 5,367 10/02/13 B BUY 30677484       | 100.0000                        | 0        | 5,367              |             | 5,367                                                     | 0                     |
| 121,405,768 10/02/13 S SELL                                                                                              | 7,835 10/02/13 S SELL 71136610      | 100.0000                        | 0        | 7,835              |             | 7,835                                                     | 0                     |
|                                                                                                                          | 121,405,768 10/02/13 B BUY 71146330 | 100.0000                        | 0        | 121,405,768        |             | 121,405,768                                               | 0                     |
|                                                                                                                          | 174,327 10/02/13 S SELL 71162013    | 100.0000                        | 0        | 174,327            |             | 174,327                                                   | 0                     |
|                                                                                                                          | 1,048,-78 10/03/13 B BUY 1005       | 100.0000                        | 0        | 1,048,178          |             | 1,048,178                                                 | 0                     |
|                                                                                                                          | 315 10/03/13 B BUY 30677485         | 100.0000                        | 0        | 315                |             | 315                                                       | 0                     |
| 7,686 10/03/13 B BUY                                                                                                     | 2 10/03/13 S SELL 71025769          | 100.0000                        | 0        | 2                  |             | 2                                                         | 0                     |
|                                                                                                                          | 7,686 10/03/13 B BUY 71136612       | 100.0000                        | 0        | 7,686              |             | 7,686                                                     | 0                     |
|                                                                                                                          | 27,520 10/03/13 B BUY 71146348      | 100.0000                        | 0        | 27,520             |             | 27,520                                                    | 0                     |
|                                                                                                                          | 1,761 10/03/13 B BUY 71162026       | 100.0000                        | 0        | 1,761              |             | 1,761                                                     | 0                     |
|                                                                                                                          | 618,473 10/04/13 B BUY 1007         | 100.0000                        | 0        | 618,473            |             | 618,473                                                   | 0                     |
| 60,004,470 10/04/13 B BUY                                                                                                | 88 10/04/13 B BUY 30677490          | 100.0000                        | 0        | 88                 |             | 88                                                        | 0                     |
|                                                                                                                          | 2 10/04/13 B BUY 71025770           | 100.0000                        | 0        | 2                  |             | 2                                                         | 0                     |
|                                                                                                                          | 6,265 10/04/13 B BUY 71136613       | 100.0000                        | 0        | 6,265              |             | 6,265                                                     | 0                     |
|                                                                                                                          | 12 10/04/13 B BUY 71137323          | 100.0000                        | 0        | 12                 |             | 12                                                        | 0                     |
|                                                                                                                          | 60,004,470 10/04/13 B BUY 71146358  | 100.0000                        | 0        | 60,004,470         |             | 60,004,470                                                | 0                     |
| 125,629 10/04/13 B BUY                                                                                                   | 125,629 10/04/13 B BUY 71162038     | 100.0000                        | 0        | 125,629            |             | 125,629                                                   | 0                     |
|                                                                                                                          | -80 10/07/13 B BUY 30677494         | 100.0000                        | 0        | 180                |             | 180                                                       | 0                     |
|                                                                                                                          | 14 10/07/13 S SELL 70525789         | 100.0000                        | 0        | 14                 |             | 14                                                        | 0                     |
|                                                                                                                          | 3,788 10/07/13 S SELL 71136621      | 100.0000                        | 0        | 3,788              |             | 3,788                                                     | 0                     |
|                                                                                                                          | 15,934 10/07/13 S SELL 71137325     | 100.0000                        | 0        | 15,934             |             | 15,934                                                    | 0                     |
| 24,539 10/07/13 B BUY                                                                                                    | 24,539 10/07/13 B BUY 71146369      | 100.0000                        | 0        | 24,539             |             | 24,539                                                    | 0                     |
|                                                                                                                          | 30,958 10/07/13 S SELL 71162051     | 100.0000                        | 0        | 30,958             |             | 30,958                                                    | 0                     |
|                                                                                                                          | 612,-43 10/08/13 S SELL 1012        | 100.0000                        | 0        | 612,143            |             | 612,143                                                   | 0                     |
|                                                                                                                          | 2 10/08/13 B BUY 30677502           | 100.0000                        | 0        | 2                  |             | 2                                                         | 0                     |
|                                                                                                                          | 85,008,218 10/08/13 B BUY 71146379  | 100.0000                        | 0        | 85,008,218         |             | 85,008,218                                                | 0                     |
| 20,727 10/08/13 S SELL                                                                                                   | 20,727 10/08/13 S SELL 71162066     | 100.0000                        | 0        | 20,727             |             | 20,727                                                    | 0                     |
|                                                                                                                          | 44,219 10/09/13 B BUY 1013          | 100.0000                        | 0        | 44,219             |             | 44,219                                                    | 0                     |
|                                                                                                                          | 269 10/09/13 S SELL 30677507        | 100.0000                        | 0        | 269                |             | 269                                                       | 0                     |
|                                                                                                                          | 22,230 10/09/13 S SELL 71136631     | 100.0000                        | 0        | 22,230             |             | 22,230                                                    | 0                     |
|                                                                                                                          | 40,000,982 10/09/13 B BUY 71146388  | 100.0000                        | 0        | 40,000,982         |             | 40,000,982                                                | 0                     |
| 17,798 10/09/13 S SELL                                                                                                   | 17,798 10/09/13 S SELL 71162084     | 100.0000                        | 0        | 17,798             |             | 17,798                                                    | 0                     |
|                                                                                                                          |                                     |                                 |          |                    |             |                                                           |                       |

## Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |          |   |      | SPX CORPORATION                 |   | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |   |
|--------------------------------------------------------------------------------------------------------------------------|----------|---|------|---------------------------------|---|-----------------------------------------------------------|---|
| IDENTITY OF PARTY INVOLVED                                                                                               |          |   |      | BASE CURRENCY: USD              |   | THROUGH                                                   |   |
| DESCRIPTION OF ASSET                                                                                                     |          |   |      | BASED ON MARKET VALUE OF        |   | 5% VALUE OF                                               |   |
| ID                                                                                                                       |          |   |      | PURCHASE PRICE<br>SELLING PRICE |   | CURRENT VALUE                                             |   |
| EXPENSES                                                                                                                 |          |   |      | COST OF ASSET                   |   | NET GAIN<br>OR (LOSS)                                     |   |
| 604,987                                                                                                                  | 10/10/13 | S | SELL | 100.0000                        | 0 | 604,987                                                   | 0 |
| 18,768                                                                                                                   | 10/10/13 | B | BUY  | 100.0000                        | 0 | 18,768                                                    | 0 |
| 3,012                                                                                                                    | 10/10/13 | S | SELL | 100.0000                        | 0 | 3,012                                                     | 0 |
| 3,767                                                                                                                    | 10/10/13 | S | SELL | 100.0000                        | 0 | 3,767                                                     | 0 |
| 69,507                                                                                                                   | 10/10/13 | S | SELL | 100.0000                        | 0 | 69,507                                                    | 0 |
| 1,284,830                                                                                                                | 10/11/13 | S | SELL | 100.0000                        | 0 | 1,284,830                                                 | 0 |
| 64                                                                                                                       | 10/11/13 | B | BUY  | 100.0000                        | 0 | 64                                                        | 0 |
| 7,744                                                                                                                    | 10/11/13 | B | BUY  | 100.0000                        | 0 | 7,744                                                     | 0 |
| 2,659                                                                                                                    | 10/11/13 | S | SELL | 100.0000                        | 0 | 2,659                                                     | 0 |
| 29,585                                                                                                                   | 10/11/13 | S | SELL | 100.0000                        | 0 | 29,585                                                    | 0 |
| 98,920,674                                                                                                               | 10/15/13 | B | BUY  | 100.0000                        | 0 | 98,920,674                                                | 0 |
| 6,356                                                                                                                    | 10/15/13 | B | BUY  | 100.0000                        | 0 | 6,356                                                     | 0 |
| 4,330                                                                                                                    | 10/15/13 | S | SELL | 100.0000                        | 0 | 4,330                                                     | 0 |
| 100,323,447                                                                                                              | 10/15/13 | S | SELL | 100.0000                        | 0 | 100,323,447                                               | 0 |
| 87,558                                                                                                                   | 10/15/13 | S | SELL | 100.0000                        | 0 | 87,558                                                    | 0 |
| 69,277                                                                                                                   | 10/16/13 | S | SELL | 100.0000                        | 0 | 69,277                                                    | 0 |
| 11                                                                                                                       | 10/16/13 | B | BUY  | 100.0000                        | 0 | 11                                                        | 0 |
| 42,091                                                                                                                   | 10/16/13 | B | BUY  | 100.0000                        | 0 | 42,091                                                    | 0 |
| 229                                                                                                                      | 10/16/13 | B | BUY  | 100.0000                        | 0 | 229                                                       | 0 |
| 101,853                                                                                                                  | 10/16/13 | B | BUY  | 100.0000                        | 0 | 101,853                                                   | 0 |
| 2,369,594                                                                                                                | 10/17/13 | B | BUY  | 100.0000                        | 0 | 2,369,594                                                 | 0 |
| 1,360                                                                                                                    | 10/17/13 | B | BUY  | 100.0000                        | 0 | 1,360                                                     | 0 |
| 21,668                                                                                                                   | 10/17/13 | B | BUY  | 100.0000                        | 0 | 21,668                                                    | 0 |
| 7,918                                                                                                                    | 10/17/13 | B | BUY  | 100.0000                        | 0 | 7,918                                                     | 0 |
| 39,211                                                                                                                   | 10/17/13 | B | BUY  | 100.0000                        | 0 | 39,211                                                    | 0 |
| 96,418,085                                                                                                               | 10/18/13 | S | SELL | 100.0000                        | 0 | 96,418,085                                                | 0 |
| 301                                                                                                                      | 10/18/13 | B | BUY  | 100.0000                        | 0 | 301                                                       | 0 |
| 3,200                                                                                                                    | 10/18/13 | S | SELL | 100.0000                        | 0 | 3,200                                                     | 0 |
| 99,922,146                                                                                                               | 10/18/13 | B | BUY  | 100.0000                        | 0 | 99,922,146                                                | 0 |
| 72,578                                                                                                                   | 10/18/13 | B | BUY  | 100.0000                        | 0 | 72,578                                                    | 0 |
| 189,638                                                                                                                  | 10/21/13 | S | SELL | 100.0000                        | 0 | 189,638                                                   | 0 |
| 18                                                                                                                       | 10/21/13 | B | BUY  | 100.0000                        | 0 | 18                                                        | 0 |
| 12,889                                                                                                                   | 10/21/13 | B | BUY  | 100.0000                        | 0 | 12,889                                                    | 0 |
| 158,492                                                                                                                  | 10/21/13 | B | BUY  | 100.0000                        | 0 | 158,492                                                   | 0 |
| 1,148,099                                                                                                                | 10/22/13 | S | SELL | 100.0000                        | 0 | 1,148,099                                                 | 0 |
| 64                                                                                                                       | 10/22/13 | B | BUY  | 100.0000                        | 0 | 64                                                        | 0 |
| 2,348                                                                                                                    | 10/22/13 | B | BUY  | 100.0000                        | 0 | 2,348                                                     | 0 |
| 11,758                                                                                                                   | 10/22/13 | S | SELL | 100.0000                        | 0 | 11,758                                                    | 0 |
| 54,061                                                                                                                   | 10/22/13 | B | BUY  | 100.0000                        | 0 | 54,061                                                    | 0 |
| 38                                                                                                                       | 10/22/13 | B | BUY  | 100.0000                        | 0 | 38                                                        | 0 |
| 15,909                                                                                                                   | 10/23/13 | B | BUY  | 100.0000                        | 0 | 15,909                                                    | 0 |
| -01                                                                                                                      | 10/23/13 | B | BUY  | 100.0000                        | 0 | -01                                                       | 0 |
| 131,097                                                                                                                  | 10/23/13 | B | BUY  | 100.0000                        | 0 | 131,097                                                   | 0 |
| 5,088,719                                                                                                                | 10/24/13 | B | BUY  | 100.0000                        | 0 | 5,088,719                                                 | 0 |
| 53                                                                                                                       | 10/24/13 | B | BUY  | 100.0000                        | 0 | 53                                                        | 0 |
| 465                                                                                                                      | 10/24/13 | S | SELL | 100.0000                        | 0 | 465                                                       | 0 |
| 49,797                                                                                                                   | 10/24/13 | S | SELL | 100.0000                        | 0 | 49,797                                                    | 0 |

## Schedule 2

FD495  
SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

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BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED         | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |   | EXPENSES | COST OF ASSET | 5% VALUE OF   |   | NET GAIN OR (LOSS) |
|------------------------------------|----------------------|---------------------------------|---|----------|---------------|---------------|---|--------------------|
|                                    |                      | PURCHASE PRICE<br>SELLING PRICE |   |          |               | CURRENT VALUE |   |                    |
| 66,446 10/24/13 B BUY 71162269     |                      | 100.0000                        | 0 |          | 66,446        | 66,446        | 0 | 0                  |
| 1,337,531 10/25/13 S SELL 1038     |                      | 100.0000                        | 0 |          | 1,337,531     | 1,337,531     | 0 | 0                  |
| 3,666 10/25/13 B BUY 30677585      |                      | 100.0000                        | 0 |          | 3,666         | 3,666         | 0 | 0                  |
| 2,608 10/25/13 S SELL 71136679     |                      | 100.0000                        | 0 |          | 2,608         | 2,608         | 0 | 0                  |
| 317 10/25/13 B BUY 71146436        |                      | 100.0000                        | 0 |          | 317           | 317           | 0 | 0                  |
| 3,998 10/25/13 B BUY 71162282      |                      | 100.0000                        | 0 |          | 3,998         | 3,998         | 0 | 0                  |
| 1,016,965 10/28/13 B BUY 1040      |                      | 100.0000                        | 0 |          | 1,016,965     | 1,016,965     | 0 | 0                  |
| 85 10/28/13 B BUY 30677596         |                      | 100.0000                        | 0 |          | 85            | 85            | 0 | 0                  |
| 11,955 10/28/13 S SELL 71136686    |                      | 100.0000                        | 0 |          | 11,955        | 11,955        | 0 | 0                  |
| 95,000 10/28/13 S SELL 71146438    |                      | 100.0000                        | 0 |          | 95,000        | 95,000        | 0 | 0                  |
| 7,076 10/28/13 S SELL 71162289     |                      | 100.0000                        | 0 |          | 7,076         | 7,076         | 0 | 0                  |
| 351,823 10/29/13 S SELL 1042       |                      | 100.0000                        | 0 |          | 351,823       | 351,823       | 0 | 0                  |
| 20 10/29/13 B BUY 30677600         |                      | 100.0000                        | 0 |          | 20            | 20            | 0 | 0                  |
| 1,630 10/29/13 S SELL 71136693     |                      | 100.0000                        | 0 |          | 1,630         | 1,630         | 0 | 0                  |
| 1,102 10/29/13 B BUY 71146443      |                      | 100.0000                        | 0 |          | 1,102         | 1,102         | 0 | 0                  |
| 6,553 10/29/13 B BUY 71162297      |                      | 100.0000                        | 0 |          | 6,553         | 6,553         | 0 | 0                  |
| 171,639 10/30/13 B BUY 1044        |                      | 100.0000                        | 0 |          | 171,639       | 171,639       | 0 | 0                  |
| 248 10/30/13 B BUY 30677604        |                      | 100.0000                        | 0 |          | 248           | 248           | 0 | 0                  |
| 16,455 10/30/13 B BUY 71136700     |                      | 100.0000                        | 0 |          | 16,455        | 16,455        | 0 | 0                  |
| 5,639 10/30/13 S SELL 71162304     |                      | 100.0000                        | 0 |          | 5,639         | 5,639         | 0 | 0                  |
| 852,660 10/31/13 S SELL 1046       |                      | 100.0000                        | 0 |          | 852,660       | 852,660       | 0 | 0                  |
| 48,177 10/31/13 S SELL 30677617    |                      | 100.0000                        | 0 |          | 48,177        | 48,177        | 0 | 0                  |
| 9,806 10/31/13 B BUY 71136702      |                      | 100.0000                        | 0 |          | 9,806         | 9,806         | 0 | 0                  |
| 1,923 10/31/13 S SELL 71146449     |                      | 100.0000                        | 0 |          | 1,923         | 1,923         | 0 | 0                  |
| 62,322 10/31/13 S SELL 71162311    |                      | 100.0000                        | 0 |          | 62,322        | 62,322        | 0 | 0                  |
| 397,178 11/01/13 S SELL 1049       |                      | 100.0000                        | 0 |          | 397,178       | 397,178       | 0 | 0                  |
| 239 11/01/13 B BUY 30677619        |                      | 100.0000                        | 0 |          | 239           | 239           | 0 | 0                  |
| 14,745 11/01/13 S SELL 71136706    |                      | 100.0000                        | 0 |          | 14,745        | 14,745        | 0 | 0                  |
| 6,742,579 11/01/13 S SELL 71146492 |                      | 100.0000                        | 0 |          | 6,742,579     | 6,742,579     | 0 | 0                  |
| 33,199 11/01/13 S SELL 71162319    |                      | 100.0000                        | 0 |          | 33,199        | 33,199        | 0 | 0                  |
| 3,170,516 11/04/13 S SELL 1051     |                      | 100.0000                        | 0 |          | 3,170,516     | 3,170,516     | 0 | 0                  |
| 5 11/04/13 B BUY 30677628          |                      | 100.0000                        | 0 |          | 5             | 5             | 0 | 0                  |
| 21,845 11/04/13 S SELL 71136707    |                      | 100.0000                        | 0 |          | 21,845        | 21,845        | 0 | 0                  |
| 11,242 11/04/13 S SELL 71162327    |                      | 100.0000                        | 0 |          | 11,242        | 11,242        | 0 | 0                  |
| 751,698 11/05/13 B BUY 1053        |                      | 100.0000                        | 0 |          | 751,698       | 751,698       | 0 | 0                  |
| 93 11/05/13 B BUY 30677631         |                      | 100.0000                        | 0 |          | 93            | 93            | 0 | 0                  |
| 2,971 11/05/13 B BUY 71136725      |                      | 100.0000                        | 0 |          | 2,971         | 2,971         | 0 | 0                  |
| 4,380 11/05/13 B BUY 71146514      |                      | 100.0000                        | 0 |          | 4,380         | 4,380         | 0 | 0                  |
| 13,140 11/05/13 S SELL 71162333    |                      | 100.0000                        | 0 |          | 13,140        | 13,140        | 0 | 0                  |
| 2,799,204 11/06/13 S SELL 1055     |                      | 100.0000                        | 0 |          | 2,799,204     | 2,799,204     | 0 | 0                  |
| 77 11/06/13 B BUY 30677634         |                      | 100.0000                        | 0 |          | 77            | 77            | 0 | 0                  |
| 19,867 11/06/13 S SELL 71136732    |                      | 100.0000                        | 0 |          | 19,867        | 19,867        | 0 | 0                  |
| 5,645 11/06/13 B BUY 71146530      |                      | 100.0000                        | 0 |          | 5,645         | 5,645         | 0 | 0                  |
| 47,277 11/06/13 S SELL 71162343    |                      | 100.0000                        | 0 |          | 47,277        | 47,277        | 0 | 0                  |
| 752,940 11/07/13 B BUY 1057        |                      | 100.0000                        | 0 |          | 752,940       | 752,940       | 0 | 0                  |
| 23 11/07/13 B BUY 30677641         |                      | 100.0000                        | 0 |          | 23            | 23            | 0 | 0                  |
| 1,711 11/07/13 S SELL 71136737     |                      | 100.0000                        | 0 |          | 1,711         | 1,711         | 0 | 0                  |
|                                    |                      |                                 |   |          | 936,057,429   | 5% VALUE OF   |   | 46,802,877         |

## Schedule 2

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SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

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DECEMBER 31, 2013THROUGH  
BASE CURRENCY: USD

| IDENTITY OF PARTY INVOLVED  | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF        |          | EXPENSES | COST OF ASSET | 5% VALUE OF   |   | NET GAIN OR (LOSS) |
|-----------------------------|----------------------|---------------------------------|----------|----------|---------------|---------------|---|--------------------|
|                             |                      | PURCHASE PRICE<br>SELLING PRICE | VALUE OF |          |               | CURRENT VALUE |   |                    |
| 3,842 11/07/13 B BUY        | 71146538             | 100.0000                        | 0        | 0        | 3,842         | 3,842         | 0 | 46,802,879         |
| 967 11/07/13 S SELL         | 71162352             | 100.0000                        | 0        | 0        | 967           | 967           | 0 |                    |
| 1,701,432 11/08/13 B BUY    | 1059                 | 100.0000                        | 0        | 0        | 1,701,432     | 1,701,432     | 0 |                    |
| 1,407 11/08/13 B BUY        | 30677645             | 100.0000                        | 0        | 0        | 1,407         | 1,407         | 0 |                    |
| 2,800 11/08/13 S SELL       | 71136764             | 100.0000                        | 0        | 0        | 2,800         | 2,800         | 0 |                    |
| 130 11/08/13 B BUY          | 71146542             | 100.0000                        | 0        | 0        | 130           | 130           | 0 |                    |
| 63,549 11/08/13 S SELL      | 71162367             | 100.0000                        | 0        | 0        | 63,549        | 63,549        | 0 |                    |
| 56,541,997 11/12/13 S SELL  | 1204                 | 100.0000                        | 0        | 0        | 56,541,997    | 56,541,997    | 0 |                    |
| 38 11/12/13 B BUY           | 30677647             | 100.0000                        | 0        | 0        | 38            | 38            | 0 |                    |
| 5,106 11/12/13 B BUY        | 71136778             | 100.0000                        | 0        | 0        | 5,106         | 5,106         | 0 |                    |
| 49,990,350 11/12/13 B BUY   | 71146548             | 100.0000                        | 0        | 0        | 49,990,350    | 49,990,350    | 0 |                    |
| 32,562 11/12/13 S SELL      | 71162381             | 100.0000                        | 0        | 0        | 32,562        | 32,562        | 0 |                    |
| 30,369,113 11/13/13 S SELL  | 1217                 | 100.0000                        | 0        | 0        | 30,369,113    | 30,369,113    | 0 |                    |
| 9 11/13/13 B BUY            | 30677649             | 100.0000                        | 0        | 0        | 9             | 9             | 0 |                    |
| 45,513 11/13/13 S SELL      | 71136779             | 100.0000                        | 0        | 0        | 45,513        | 45,513        | 0 |                    |
| 625,876,852 11/13/13 S SELL | 71146557             | 100.0000                        | 0        | 0        | 625,876,852   | 625,876,852   | 0 |                    |
| 114,526 11/13/13 S SELL     | 71162387             | 100.0000                        | 0        | 0        | 114,526       | 114,526       | 0 |                    |
| 7,452,416 11/14/13 S SELL   | 1219                 | 100.0000                        | 0        | 0        | 7,452,416     | 7,452,416     | 0 |                    |
| 97 11/14/13 B BUY           | 30677653             | 100.0000                        | 0        | 0        | 97            | 97            | 0 |                    |
| 40,656 11/14/13 B BUY       | 71136782             | 100.0000                        | 0        | 0        | 40,656        | 40,656        | 0 |                    |
| 7,242,381 11/14/13 B BUY    | 71146568             | 100.0000                        | 0        | 0        | 7,242,381     | 7,242,381     | 0 |                    |
| 3,515 11/14/13 B BUY        | 71162400             | 100.0000                        | 0        | 0        | 3,515         | 3,515         | 0 |                    |
| 240 11/15/13 B BUY          | 30677658             | 100.0000                        | 0        | 0        | 240           | 240           | 0 |                    |
| 110 11/15/13 B BUY          | 71136787             | 100.0000                        | 0        | 0        | 110           | 110           | 0 |                    |
| 636,196 11/15/13 S SELL     | 71146576             | 100.0000                        | 0        | 0        | 636,196       | 636,196       | 0 |                    |
| 3,967 11/15/13 B BUY        | 71162413             | 100.0000                        | 0        | 0        | 3,967         | 3,967         | 0 |                    |
| 970 11/18/13 B BUY          | 30677666             | 100.0000                        | 0        | 0        | 970           | 970           | 0 |                    |
| 4,946 11/18/13 S SELL       | 71136791             | 100.0000                        | 0        | 0        | 4,946         | 4,946         | 0 |                    |
| 112 11/18/13 B BUY          | 71146580             | 100.0000                        | 0        | 0        | 112           | 112           | 0 |                    |
| 46,378 11/18/13 B BUY       | 71162417             | 100.0000                        | 0        | 0        | 46,378        | 46,378        | 0 |                    |
| 52 11/19/13 B BUY           | 30677670             | 100.0000                        | 0        | 0        | 52            | 52            | 0 |                    |
| 3,253 11/19/13 S SELL       | 71136792             | 100.0000                        | 0        | 0        | 3,253         | 3,253         | 0 |                    |
| 990 11/19/13 S SELL         | 71146586             | 100.0000                        | 0        | 0        | 990           | 990           | 0 |                    |
| 19,743 11/19/13 B BUY       | 71162426             | 100.0000                        | 0        | 0        | 19,743        | 19,743        | 0 |                    |
| 25 11/20/13 B BUY           | 30677672             | 100.0000                        | 0        | 0        | 25            | 25            | 0 |                    |
| 2,865 11/20/13 S SELL       | 71136799             | 100.0000                        | 0        | 0        | 2,865         | 2,865         | 0 |                    |
| 6,503 11/20/13 B BUY        | 71146588             | 100.0000                        | 0        | 0        | 6,503         | 6,503         | 0 |                    |
| 12,600 11/20/13 B BUY       | 71162435             | 100.0000                        | 0        | 0        | 12,600        | 12,600        | 0 |                    |
| 603 11/21/13 B BUY          | 30677676             | 100.0000                        | 0        | 0        | 603           | 603           | 0 |                    |
| 49 11/21/13 B BUY           | 71146590             | 100.0000                        | 0        | 0        | 49            | 49            | 0 |                    |
| 19,102 11/21/13 S SELL      | 71162442             | 100.0000                        | 0        | 0        | 19,102        | 19,102        | 0 |                    |
| 1,405 11/22/13 B BUY        | 30677681             | 100.0000                        | 0        | 0        | 1,405         | 1,405         | 0 |                    |
| 10,188 11/22/13 S SELL      | 71136800             | 100.0000                        | 0        | 0        | 10,188        | 10,188        | 0 |                    |
| 1,498 11/22/13 B BUY        | 71146593             | 100.0000                        | 0        | 0        | 1,498         | 1,498         | 0 |                    |
| 67,953 11/22/13 S SELL      | 71162452             | 100.0000                        | 0        | 0        | 67,953        | 67,953        | 0 |                    |
| 10,735 11/25/13 B BUY       | 30677694             | 100.0000                        | 0        | 0        | 10,735        | 10,735        | 0 |                    |
| 430,869 11/25/13 S SELL     | 71146596             | 100.0000                        | 0        | 0        | 430,869       | 430,869       | 0 |                    |

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF |               | EXPENSES | COST OF ASSET | 5% VALUE OF   |  | NET GAIN OR (LOSS) |
|----------------------------|----------------------|--------------------------|---------------|----------|---------------|---------------|--|--------------------|
|                            |                      | PURCHASE PRICE           | SELLING PRICE |          |               | CURRENT VALUE |  |                    |
| 7,194 11/25/13 S SELL      | 71162462             | 100.0000                 |               | 0        | 7,194         | 7,194         |  | 0                  |
| -60 11/26/13 B BUY         | 30677698             | 100.0000                 |               | 0        | 160           | 160           |  | 0                  |
| 4,000,000 11/26/13 B BUY   | 71146397             | 100.0000                 |               | 0        | 4,000,000     | 4,000,000     |  | 0                  |
| 376 11/26/13 S SELL        | 71162472             | 100.0000                 |               | 0        | 376           | 376           |  | 0                  |
| -64 11/27/13 B BUY         | 30677704             | 100.0000                 |               | 0        | 164           | 164           |  | 0                  |
| 1,013 11/27/13 B BUY       | 71136808             | 100.0000                 |               | 0        | 1,013         | 1,013         |  | 0                  |
| 55,080 11/27/13 B BUY      | 71162482             | 100.0000                 |               | 0        | 55,080        | 55,080        |  | 0                  |
| 563 11/29/13 B BUY         | 30677737             | 100.0000                 |               | 0        | 563           | 563           |  | 0                  |
| 815 11/29/13 S SELL        | 71136815             | 100.0000                 |               | 0        | 815           | 815           |  | 0                  |
| 430,869 11/29/13 B BUY     | 71146600             | 100.0000                 |               | 0        | 430,869       | 430,869       |  | 0                  |
| 16,467 11/29/13 S SELL     | 71162505             | 100.0000                 |               | 0        | 16,467        | 16,467        |  | 0                  |
| 298 12/02/13 B BUY         | 1222                 | 100.0000                 |               | 0        | 298           | 298           |  | 0                  |
| 427 12/02/13 B BUY         | 30677741             | 100.0000                 |               | 0        | 427           | 427           |  | 0                  |
| 1,322 12/02/13 B BUY       | 71136824             | 100.0000                 |               | 0        | 1,322         | 1,322         |  | 0                  |
| 5,915,822 12/02/13 S SELL  | 71146643             | 100.0000                 |               | 0        | 5,915,822     | 5,915,822     |  | 0                  |
| 34,187 12/02/13 B BUY      | 71162515             | 100.0000                 |               | 0        | 34,187        | 34,187        |  | 0                  |
| 96 12/03/13 S SELL         | 1224                 | 100.0000                 |               | 0        | 96            | 96            |  | 0                  |
| -93 12/03/13 B BUY         | 30677749             | 100.0000                 |               | 0        | 193           | 193           |  | 0                  |
| 21,137 12/03/13 B BUY      | 71136826             | 100.0000                 |               | 0        | 21,137        | 21,137        |  | 0                  |
| -76 12/03/13 B BUY         | 71146646             | 100.0000                 |               | 0        | 176           | 176           |  | 0                  |
| 33,758 12/03/13 B BUY      | 71162526             | 100.0000                 |               | 0        | 33,758        | 33,758        |  | 0                  |
| 202 12/04/13 S SELL        | 1227                 | 100.0000                 |               | 0        | 202           | 202           |  | 0                  |
| 97 12/04/13 B BUY          | 30677756             | 100.0000                 |               | 0        | 97            | 97            |  | 0                  |
| 18,625 12/04/13 S SELL     | 71136829             | 100.0000                 |               | 0        | 18,625        | 18,625        |  | 0                  |
| 67,274 12/04/13 B BUY      | 71146661             | 100.0000                 |               | 0        | 67,274        | 67,274        |  | 0                  |
| 22,259 12/04/13 B BUY      | 71162535             | 100.0000                 |               | 0        | 22,259        | 22,259        |  | 0                  |
| 88 12/05/13 B BUY          | 30677762             | 100.0000                 |               | 0        | 88            | 88            |  | 0                  |
| 635 12/05/13 S SELL        | 71146670             | 100.0000                 |               | 0        | 635           | 635           |  | 0                  |
| 26,682 12/05/13 S SELL     | 71162543             | 100.0000                 |               | 0        | 26,682        | 26,682        |  | 0                  |
| 69 12/06/13 B BUY          | 30677769             | 100.0000                 |               | 0        | 69            | 69            |  | 0                  |
| 3,002 12/06/13 B BUY       | 71136840             | 100.0000                 |               | 0        | 3,002         | 3,002         |  | 0                  |
| 4,996 12/06/13 B BUY       | 71146677             | 100.0000                 |               | 0        | 4,996         | 4,996         |  | 0                  |
| 70,920 12/06/13 S SELL     | 71162553             | 100.0000                 |               | 0        | 70,920        | 70,920        |  | 0                  |
| 81 12/09/13 B BUY          | 30677777             | 100.0000                 |               | 0        | 81            | 81            |  | 0                  |
| 7,182 12/09/13 S SELL      | 71136846             | 100.0000                 |               | 0        | 7,182         | 7,182         |  | 0                  |
| 2,002,495 12/09/13 B BUY   | 71146684             | 100.0000                 |               | 0        | 2,002,495     | 2,002,495     |  | 0                  |
| 76,153 12/09/13 S SELL     | 71162567             | 100.0000                 |               | 0        | 76,153        | 76,153        |  | 0                  |
| -78 12/10/13 B BUY         | 30677784             | 100.0000                 |               | 0        | 178           | 178           |  | 0                  |
| 1,454 12/10/13 S SELL      | 71136854             | 100.0000                 |               | 0        | 1,454         | 1,454         |  | 0                  |
| 331 12/10/13 B BUY         | 71146689             | 100.0000                 |               | 0        | 331           | 331           |  | 0                  |
| 2,089 12/10/13 S SELL      | 71162583             | 100.0000                 |               | 0        | 2,089         | 2,089         |  | 0                  |
| 4,857 12/11/13 B BUY       | 71136859             | 100.0000                 |               | 0        | 4,857         | 4,857         |  | 0                  |
| 50,106 12/11/13 S SELL     | 71146704             | 100.0000                 |               | 0        | 50,106        | 50,106        |  | 0                  |
| 70,064 12/11/13 B BUY      | 71162597             | 100.0000                 |               | 0        | 70,064        | 70,064        |  | 0                  |
| 236 12/12/13 B BUY         | 30677797             | 100.0000                 |               | 0        | 236           | 236           |  | 0                  |
| 20,383 12/12/13 S SELL     | 71136860             | 100.0000                 |               | 0        | 20,383        | 20,383        |  | 0                  |
| 288 12/12/13 B BUY         | 71146709             | 100.0000                 |               | 0        | 288           | 288           |  | 0                  |

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DECEMBER 31, 2013

BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED | DESCRIPTION OF ASSET | BASED ON MARKET VALUE OF |               | EXPENSES | COST OF ASSET | 5% VALUE OF   |  | NET GAIN OR (LOSS) |
|----------------------------|----------------------|--------------------------|---------------|----------|---------------|---------------|--|--------------------|
|                            |                      | PURCHASE PRICE           | SELLING PRICE |          |               | CURRENT VALUE |  |                    |
| 47,891                     | 12/12/13 B BUY       | 71162610                 | 100.0000      | 0        | 47,891        | 47,891        |  | 0                  |
| 355                        | 12/13/13 B BUY       | 30677798                 | 100.0000      | 0        | 355           | 355           |  | 0                  |
| 6,528                      | 12/13/13 B BUY       | 71136863                 | 100.0000      | 0        | 6,528         | 6,528         |  | 0                  |
| 232                        | 12/13/13 B BUY       | 71146724                 | 100.0000      | 0        | 232           | 232           |  | 0                  |
| 68,618                     | 12/13/13 B BUY       | 71162622                 | 100.0000      | 0        | 68,618        | 68,618        |  | 0                  |
| 247                        | 12/16/13 B BUY       | 30677811                 | 100.0000      | 0        | 247           | 247           |  | 0                  |
| 423                        | 12/16/13 B BUY       | 71136867                 | 100.0000      | 0        | 423           | 423           |  | 0                  |
| 3,382                      | 12/16/13 B BUY       | 71146733                 | 100.0000      | 0        | 3,382         | 3,382         |  | 0                  |
| 10,875                     | 12/16/13 B BUY       | 71162635                 | 100.0000      | 0        | 10,875        | 10,875        |  | 0                  |
| 2                          | 12/17/13 S SELL      | 360                      | 100.0000      | 0        | 2             | 2             |  | 0                  |
| 94                         | 12/17/13 B BUY       | 30677833                 | 100.0000      | 0        | 94            | 94            |  | 0                  |
| 2,362,309                  | 12/17/13 B BUY       | 71146737                 | 100.0000      | 0        | 2,362,309     | 2,362,309     |  | 0                  |
| 63,837                     | 12/17/13 S SELL      | 71162644                 | 100.0000      | 0        | 63,837        | 63,837        |  | 0                  |
| 8,741                      | 12/18/13 B BUY       | 30677837                 | 100.0000      | 0        | 8,741         | 8,741         |  | 0                  |
| 64,552                     | 12/18/13 S SELL      | 71146746                 | 100.0000      | 0        | 64,552        | 64,552        |  | 0                  |
| 3,018                      | 12/18/13 S SELL      | 71162655                 | 100.0000      | 0        | 3,018         | 3,018         |  | 0                  |
| 40                         | 12/19/13 B BUY       | 30677847                 | 100.0000      | 0        | 40            | 40            |  | 0                  |
| 9,547                      | 12/19/13 B BUY       | 71136880                 | 100.0000      | 0        | 9,547         | 9,547         |  | 0                  |
| 2,415                      | 12/19/13 B BUY       | 71146750                 | 100.0000      | 0        | 2,415         | 2,415         |  | 0                  |
| 2,553                      | 12/19/13 S SELL      | 71162667                 | 100.0000      | 0        | 2,553         | 2,553         |  | 0                  |
| 402                        | 12/20/13 B BUY       | 30677851                 | 100.0000      | 0        | 402           | 402           |  | 0                  |
| 6,643                      | 12/20/13 S SELL      | 71136886                 | 100.0000      | 0        | 6,643         | 6,643         |  | 0                  |
| 31,841                     | 12/20/13 S SELL      | 71162679                 | 100.0000      | 0        | 31,841        | 31,841        |  | 0                  |
| 218                        | 12/23/13 B BUY       | 30677866                 | 100.0000      | 0        | 218           | 218           |  | 0                  |
| 308,550                    | 12/23/13 B BUY       | 71126190                 | 100.0000      | 0        | 308,550       | 308,550       |  | 0                  |
| 6,964                      | 12/23/13 S SELL      | 71136889                 | 100.0000      | 0        | 6,964         | 6,964         |  | 0                  |
| 41,592                     | 12/23/13 S SELL      | 71162695                 | 100.0000      | 0        | 41,592        | 41,592        |  | 0                  |
| 1,586                      | 12/24/13 B BUY       | 30677876                 | 100.0000      | 0        | 1,586         | 1,586         |  | 0                  |
| 308,550                    | 12/24/13 S SELL      | 71126191                 | 100.0000      | 0        | 308,550       | 308,550       |  | 0                  |
| 1,771                      | 12/24/13 B BUY       | 71136892                 | 100.0000      | 0        | 1,771         | 1,771         |  | 0                  |
| 308,550                    | 12/24/13 B BUY       | 71146754                 | 100.0000      | 0        | 308,550       | 308,550       |  | 0                  |
| 35,665                     | 12/24/13 B BUY       | 71162708                 | 100.0000      | 0        | 35,665        | 35,665        |  | 0                  |
| 9,854                      | 12/26/13 B BUY       | 30677881                 | 100.0000      | 0        | 9,854         | 9,854         |  | 0                  |
| 1,935                      | 12/26/13 B BUY       | 71136895                 | 100.0000      | 0        | 1,935         | 1,935         |  | 0                  |
| 55                         | 12/26/13 B BUY       | 71146757                 | 100.0000      | 0        | 55            | 55            |  | 0                  |
| 31,953                     | 12/26/13 S SELL      | 71162717                 | 100.0000      | 0        | 31,953        | 31,953        |  | 0                  |
| 461                        | 12/27/13 B BUY       | 30677885                 | 100.0000      | 0        | 461           | 461           |  | 0                  |
| 0                          | 12/27/13 B BUY       | 71126195                 | 100.0000      | 0        | 0             | 0             |  | 0                  |
| 11,013                     | 12/27/13 B BUY       | 71136903                 | 100.0000      | 0        | 11,013        | 11,013        |  | 0                  |
| 202,329                    | 12/27/13 B BUY       | 71146761                 | 100.0000      | 0        | 202,329       | 202,329       |  | 0                  |
| 167,704                    | 12/27/13 B BUY       | 71162729                 | 100.0000      | 0        | 167,704       | 167,704       |  | 0                  |
| 185                        | 12/30/13 B BUY       | 30677907                 | 100.0000      | 0        | 185           | 185           |  | 0                  |
| 7,733                      | 12/30/13 B BUY       | 71136908                 | 100.0000      | 0        | 7,733         | 7,733         |  | 0                  |
| 8,261                      | 12/30/13 B BUY       | 71146762                 | 100.0000      | 0        | 8,261         | 8,261         |  | 0                  |
| 51,562                     | 12/30/13 B BUY       | 71162731                 | 100.0000      | 0        | 51,562        | 51,562        |  | 0                  |
| 620                        | 12/31/13 B BUY       | 30677937                 | 100.0000      | 0        | 620           | 620           |  | 0                  |
| 6,643                      | 12/31/13 B BUY       | 71136922                 | 100.0000      | 0        | 6,643         | 6,643         |  | 0                  |
|                            |                      |                          |               |          | 936,057,429   | 5% VALUE OF   |  | 46,802,879         |

Schedule 2

FD495  
SCHEDULE H (FORM 5500 - 4J-3)  
SCHEDULE OF REPORTABLE TRANSACTIONS  
SERIES OF TRANSACTIONS IN SAME SECURITY

SPX CORPORATION

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DECEMBER 31, 2012  
DECEMBER 31, 2013

BASE CURRENCY: USD THROUGH

| IDENTITY OF PARTY INVOLVED                         | DESCRIPTION OF ASSET INVOLVED | BASED ON MARKET VALUE OF     |          | EXPENSES | COST OF ASSET |               | 5% VALUE OF CURRENT VALUE | NET GAIN OR (LOSS) |
|----------------------------------------------------|-------------------------------|------------------------------|----------|----------|---------------|---------------|---------------------------|--------------------|
|                                                    |                               | PURCHASE PRICE SELLING PRICE |          |          |               |               |                           |                    |
| 14,083                                             | 12/31/13 B BUY                | 71162738                     | 100.0000 | 0        | 14,083        | 14,083        |                           | 46,802,871         |
| 1437,255,414                                       | 713 TOTAL BUYS                |                              |          | 0        | 1,437,255,414 | 1,437,255,414 |                           | 0                  |
| 1317,402,033                                       | 402 TOTAL SELLS               |                              |          | 0        | 1,317,402,033 | 1,317,402,033 |                           | 0                  |
| 2754,657,447                                       | SECURITY TOTAL                |                              |          | 0        | 2,754,657,447 | 2,754,657,447 |                           | 0                  |
| 722005626 PIMCO ALL ASSET FUND INST                |                               |                              |          |          |               |               |                           |                    |
| BROKER 0800102 MEVO                                |                               |                              |          |          |               |               |                           |                    |
| 78,678                                             | 01/02/13 S SELL               | 298                          | 12.7100  | 0        | 946,836       | 1,000,000     |                           | 53,164             |
| 78,802                                             | 02/01/13 S SELL               | 301                          | 12.6900  | 0        | 948,329       | 1,000,000     |                           | 51,671             |
| 79,491                                             | 03/01/13 S SELL               | 306                          | 12.5800  | 0        | 956,621       | 1,000,000     |                           | 43,379             |
| 61,784                                             | 03/21/13 B BUY                | 304                          | 12.5549  | 0        | 775,686       | 775,686       |                           | 0                  |
| 77,882                                             | 04/01/13 S SELL               | 311                          | 12.8400  | 0        | 937,604       | 1,000,000     |                           | 62,396             |
| 79,808                                             | 05/01/13 S SELL               | 314                          | 12.5300  | 0        | 960,801       | 1,000,000     |                           | 39,199             |
| 48,040                                             | 06/20/13 B BUY                | 317                          | 11.9500  | 0        | 574,076       | 574,076       |                           | 0                  |
| 83,542                                             | 06/28/13 S SELL               | 330                          | 11.9700  | 0        | 1,005,700     | 1,000,000     |                           | (5,700)            |
| 82,305                                             | 07/31/13 S SELL               | 337                          | 12.1500  | 0        | 990,800       | 1,000,000     |                           | 9,200              |
| 83,682                                             | 08/30/13 S SELL               | 340                          | 11.9500  | 0        | 1,007,383     | 1,000,000     |                           | (7,383)            |
| 55,076                                             | 09/19/13 B BUY                | 344                          | 12.3000  | 0        | 677,435       | 677,435       |                           | 0                  |
| 81,833                                             | 09/30/13 S SELL               | 345                          | 12.2200  | 0        | 985,299       | 1,000,000     |                           | 14,701             |
| 4,909,984                                          | 09/30/13 S SELL               | 346                          | 12.2200  | 0        | 59,117,940    | 60,000,000    |                           | 882,060            |
| 80,128                                             | 10/31/13 S SELL               | 352                          | 12.4800  | 0        | 964,772       | 1,000,000     |                           | 35,228             |
| 80,841                                             | 11/29/13 S SELL               | 356                          | 12.3700  | 0        | 973,351       | 1,000,000     |                           | 26,649             |
| 40,027                                             | 12/30/13 B BUY                | 358                          | 12.0800  | 0        | 483,521       | 483,521       |                           | 0                  |
| 204,927                                            | 4 TOTAL BUYS                  |                              |          | 0        | 2,510,718     | 2,510,718     |                           | 0                  |
| 5,796,976                                          | 12 TOTAL SELLS                |                              |          | 0        | 69,795,436    | 71,000,000    |                           | 1,204,564          |
| 6,001,903                                          | SECURITY TOTAL                |                              |          | 0        | 72,306,154    | 73,510,718    |                           | 1,204,564          |
| 72201F433 PIMCO FUNDS STOCKSPUS LONG DURATION INST |                               |                              |          |          |               |               |                           |                    |
| BROKER 0800102 MEVO                                |                               |                              |          |          |               |               |                           |                    |
| 119,760                                            | 01/02/13 S SELL               | 299                          | 8.3500   | 0        | 832,073       | 1,000,000     |                           | 167,927            |
| 116,822                                            | 02/01/13 S SELL               | 302                          | 8.5600   | 0        | 811,660       | 1,000,000     |                           | 188,340            |
| 113,122                                            | 03/01/13 S SELL               | 308                          | 8.8400   | 0        | 785,951       | 1,000,000     |                           | 214,049            |
| 28,899                                             | 03/21/13 B BUY                | 307                          | 8.6700   | 0        | 250,557       | 250,557       |                           | 0                  |
| 107,411                                            | 04/01/13 S SELL               | 312                          | 9.3100   | 0        | 746,704       | 1,000,000     |                           | 253,296            |
| 110,497                                            | 05/01/13 S SELL               | 315                          | 9.0500   | 0        | 768,156       | 1,000,000     |                           | 231,844            |
| 125,396                                            | 06/20/13 B BUY                | 318                          | 8.3200   | 0        | 1,043,296     | 1,043,296     |                           | 0                  |
| 119,332                                            | 06/28/13 S SELL               | 328                          | 8.3800   | 0        | 831,230       | 1,000,000     |                           | 168,770            |
| 114,025                                            | 07/31/13 S SELL               | 338                          | 8.7700   | 0        | 794,266       | 1,000,000     |                           | 205,734            |
| 119,190                                            | 08/30/13 S SELL               | 341                          | 8.3900   | 0        | 830,240       | 1,000,000     |                           | 169,760            |
| 7,692,308                                          | 09/11/13 S SELL               | 348                          | 8.4500   | 0        | 53,582,382    | 65,000,000    |                           | 11,417,618         |
| 64,539                                             | 09/19/13 B BUY                | 349                          | 8.7000   | 0        | 561,492       | 561,492       |                           | 0                  |
| 116,279                                            | 09/30/13 S SELL               | 350                          | 8.6000   | 0        | 812,948       | 1,000,000     |                           | 187,052            |
| 109,409                                            | 10/31/13 S SELL               | 353                          | 9.1400   | 0        | 764,919       | 1,000,000     |                           | 235,082            |

## Schedule 2

| FD495<br>SCHEDULE H (FORM 5500 - 4J-3)<br>SCHEDULE OF REPORTABLE TRANSACTIONS<br>SERIES OF TRANSACTIONS IN SAME SECURITY |                |          |         | SPX CORPORATION                 |            | PAGE<br>C 07103<br>DECEMBER 31, 2012<br>DECEMBER 31, 2013 |                                        |
|--------------------------------------------------------------------------------------------------------------------------|----------------|----------|---------|---------------------------------|------------|-----------------------------------------------------------|----------------------------------------|
|                                                                                                                          |                |          |         | BASE CURRENCY: USD              |            | THROUGH                                                   |                                        |
|                                                                                                                          |                |          |         | BASED ON MARKET VALUE OF        |            | 5% VALUE OF                                               |                                        |
| IDENTITY OF PARTY INVOLVED                                                                                               |                |          |         | PURCHASE PRICE<br>SELLING PRICE | EXPENSES   | COST OF ASSET                                             | CURRENT VALUE<br>NET GAIN<br>OR (LOSS) |
| BROKER                                                                                                                   | 107,875        | 11/29/13 | S SELL  | 357                             | 0          | 754,191                                                   | 1,000,000                              |
|                                                                                                                          | 853,952        | 12/11/13 | B BUY   | 359                             | 0          | 5,849,573                                                 | 5,849,573                              |
|                                                                                                                          | 469,587        | 12/11/13 | B BUY   | 361                             | 0          | 3,216,669                                                 | 3,216,669                              |
| BROKER                                                                                                                   | 0              | 12/11/13 | S RGAIN | 364                             | 0          | 0                                                         | 5,849,573                              |
|                                                                                                                          | 0              | 12/11/13 | S RGAIN | 365                             | 0          | 0                                                         | 3,216,669                              |
|                                                                                                                          | MEMO           |          |         |                                 |            |                                                           |                                        |
| 312,180                                                                                                                  | 12/27/13       | B BUY    | 362     | 0                               | 2,083,365  | 2,083,365                                                 |                                        |
| -----                                                                                                                    |                |          |         | -----                           |            |                                                           |                                        |
| 1,854,553                                                                                                                | 6 TOTAL BUYS   |          |         | 0                               | 13,006,952 | 13,006,952                                                | 0                                      |
| 8,946,030                                                                                                                | 14 TOTAL SELLS |          |         | 0                               | 62,314,720 | 85,066,242                                                | 22,751,523                             |
| -----                                                                                                                    |                |          |         | -----                           |            |                                                           |                                        |
| 10,800,583                                                                                                               | SECURITY TOTAL |          |         | 0                               | 75,321,672 | 98,073,194                                                | 22,751,523                             |
|                                                                                                                          |                |          |         |                                 |            |                                                           |                                        |
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# SPX US Pension Plan

## Statement of Net Assets Available for Benefits

|                                                   | December 31,<br>2013  | December 31,<br>2012   |
|---------------------------------------------------|-----------------------|------------------------|
| <b>Assets</b>                                     |                       |                        |
| Investments:                                      |                       |                        |
| Interest in SPX Corporation Master Trust (Note 4) | \$ -                  | \$ 935,290,896         |
| Short-term investments                            | 156,830,702           | -                      |
| Mutual funds                                      | 70,519,834            | -                      |
| Common/Collective trusts                          | 158,906,747           | -                      |
| Corporate stock                                   | 13,123,950            | -                      |
| Corporate stock - Loaned                          | 13,324,717            | -                      |
| Partnership interests                             | 695,013               | -                      |
| Hedge funds                                       | 51,053,458            | -                      |
| Other                                             | 530,055               | -                      |
| Insurance contract                                | 1,483,530             | -                      |
| Total investments                                 | 466,468,006           | 935,290,896            |
| Employer contributions receivable                 | -                     | 277,816,204            |
| Collateral held under securities loan agreements  | 13,016,855            | -                      |
| Receivables                                       | 92,253                | -                      |
| Total assets                                      | 479,577,114           | 1,213,107,100          |
| <b>Liabilities</b>                                |                       |                        |
| Pending security transactions                     | 81,828                | -                      |
| Obligations under securities loan agreements      | 13,614,844            | -                      |
| Total liabilities                                 | 13,696,672            | -                      |
| <b>Net Assets Available for Benefits</b>          | <b>\$ 465,880,442</b> | <b>\$1,213,107,100</b> |

# SPX US Pension Plan

## Statement of Changes in Net Assets Available for Benefits

|                                                                                | Year Ended            |                        |
|--------------------------------------------------------------------------------|-----------------------|------------------------|
|                                                                                | December 31,<br>2013  | December 31,<br>2012   |
| <b>Additions to Net Assets</b>                                                 |                       |                        |
| Contributions                                                                  | \$ -                  | \$ 294,272,985         |
| Interest and dividends                                                         | 9,775,250             | -                      |
| Income from interest in SPX Corporation Master Trust<br>(Note 4)               | -                     | 92,003,047             |
| Net realized and unrealized gains (losses) on investments:                     |                       |                        |
| Mutual funds                                                                   | 1,952,284             | -                      |
| Common/Collective trusts                                                       | 4,639,608             | -                      |
| Other - Primarily corporate stocks                                             | 23,732,855            | -                      |
| Hedge funds                                                                    | (3,734,601)           | -                      |
| Collateral held under securities loan agreements - Fixed<br>income investments | 167,953               | -                      |
| Net realized and unrealized gains                                              | 26,758,099            | -                      |
| Less administrative expenses                                                   | (8,444,958)           | (6,084,526)            |
| Total additions - Net                                                          | 28,088,391            | 380,191,506            |
| <b>Deductions from Net Assets</b>                                              |                       |                        |
| Benefits paid directly to participants or beneficiaries                        | 110,371,752           | 57,617,195             |
| Purchase of annuity contract (Note 1)                                          | 663,700,000           | -                      |
| Insurance premiums                                                             | 1,243,297             | 1,909,746              |
| Total deductions                                                               | 775,315,049           | 59,526,941             |
| <b>Net (Decrease) Increase Before Other Changes</b>                            | (747,226,658)         | 320,664,565            |
| <b>Transfers In</b> (Note 1)                                                   | -                     | 197,863,739            |
| <b>Net (Decrease) Increase</b>                                                 | (747,226,658)         | 518,528,304            |
| <b>Net Assets Available for Benefits</b>                                       |                       |                        |
| Beginning of year                                                              | 1,213,107,100         | 694,578,796            |
| End of year                                                                    | <u>\$ 465,880,442</u> | <u>\$1,213,107,100</u> |

# SPX US Pension Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description

The following description of the SPX US Pension Plan (the "Plan") provides only general information. Participants should refer to the plan agreement for a more complete description of the Plan's provisions.

Effective December 31, 2012, all participants, assets, and related obligations of the Pension Plan for Bargaining Unit Employees of SPX Corporation (BU Plan) merged into the Plan. Participants and beneficiaries of the BU Plan will participate in the SPX US Pension Plan under the terms and conditions of the BU Plan as in effect immediately prior to the merger.

Effective January 1, 2013, the Plan name was changed from the SPX Corporation Individual Account Retirement Plan (IARP Plan) to the SPX US Pension Plan.

**General** - The Plan is a defined benefit plan that provides for retirement, death, and disability benefits for eligible salaried and union employees of SPX Corporation (the "Company") and those of its subsidiaries that adopt the Plan. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

**Plan Operations** - Under a trust agreement, JPMorgan Chase Bank, N.A. (the "Trustee") was appointed trustee of the Plan. In accordance with the powers and duties of the Trustee, as designated by the Company, the Trustee administers the Plan in accordance with the orders of the administrative committee and invests the Plan's assets and the income therefrom as directed by the Plan's investment manager. Administrative fees incurred in administering the Plan are paid from the assets of the Plan.

**Eligibility and Vesting** - Employees become participants in the Plan following completion of the eligibility requirements as described in the Plan. Employees under the former IARP Plan are fully vested for normal retirement benefits after three years of service and individuals hired on or after January 1, 2001 are not eligible to participate. Employees under the former BU Plan are fully vested for normal retirement benefits after five years of service. Pursuant to the terms of the former BU Plan and the applicable collective bargaining agreements, there were no new entrants to the former BU Plan after December 31, 2010 and these terms will continue under the SPX US Pension Plan.

**Pension Benefits** - The Plan provides for payment of normal retirement, early retirement, disability retirement, and death benefits to its participants, as calculated under the provisions of the Plan.

# SPX US Pension Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description (Continued)

Under terms of the Plan, effective July 1, 1997, benefits for the former IARP Plan's general salaried and management employees of the Company are governed under a cash balance plan. In addition, former employees of General Signal Corporation, which merged into the Plan on December 31, 1998, are also governed by this cash balance plan. The cash balance account consists of any initial account balance at July 1, 1997 or December 31, 1998, as applicable, employer contribution credits, interest credits, and any applicable transition credits. Employer contribution credits are equal to 4 percent of the participants' compensation, as defined by the Plan, for each calendar year. Interest credits are based on the participants' cash balance accounts at December 31 of the prior calendar year multiplied by the five-year U.S. Treasury rate on the last business day of November of the prior calendar year. Transitional credits are available to participants who meet certain requirements, as defined in the Plan.

Eligible employees governed under terms of the former BU plan are entitled to normal annual pension benefits beginning at the participant's normal retirement age of 65, as described in the Plan. For these employees, the individual pension benefit is equal to credited service multiplied by the monthly pension basic benefit in effect on the date the employee terminates service as set forth in the Plan and union agreements. Special provisions for retirement at other than the normal retirement age are described in the Plan and union agreements.

In November 2013, the Plan purchased an annuity contract to settle the benefit obligations for approximately 16,000 retirees currently receiving annuity payments. The purchase price of the annuity contract was \$663,700,000 and is reported in the accompanying statement of changes in net assets available for benefits for the year ended December 31, 2013. The annuity contract is excluded from plan assets.

Under terms of the annuity contract agreement, the obligation to make future pension payments will begin in April 2014; as such, the impact of the annuity purchase is not reflected in the December 31, 2012 actuarial present value of accumulated plan benefits as reported in Note 6.

Subsequent to year end, a refund totaling \$4,833,382 related to the purchase price of the annuity was received as a result of events that occurred in 2014 before the obligation was assumed in April 2014.

**Funding** - Contributions are made by the Company in actuarially determined amounts. The Company's policy is to make contributions necessary to satisfy ERISA funding standards. There were no required contributions in 2013. Contributions in the amount of \$294,272,985 were made in 2012. The Company's funding for 2013 and 2012 met or exceeded the minimum funding requirements of ERISA.

# SPX US Pension Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description (Continued)

**Termination** - Should the Plan terminate at some future time, its net assets generally will not be available on a pro-rata basis to provide participants' benefits. Whether a particular participant's accumulated plan benefits will be paid depends on both the priority of those benefits and the level of benefits guaranteed by the Pension Benefit Guaranty Corporation (PBGC) at that time. Some benefits may be fully or partially provided for by the then-existing assets and the PBGC guarantee while other benefits may not be provided for at all.

### Note 2 - Summary of Significant Accounting Policies

**Investments in the Master Trust** - The Plan participated in the SPX Corporation Master Trust Fund (the "Master Trust") through December 31, 2012. In connection with the merger of the BU Plan (see Note 1), the investments of the Plan are no longer commingled in a Master Trust.

**Investment Valuation** - If available, quoted market prices are used to value investments. When quoted market prices are not available, various valuation techniques are utilized and observable inputs are prioritized to determine fair value.

The insurance contract is valued at contract value. Contract value represents deposits made to the contract, plus earnings at guaranteed crediting rates, less withdrawals and fees. Investments in common/collective trusts are those in which the Plan purchases a security in a commingled investment vehicle unit (e.g., common stock or units), whereby the security represents an interest in an underlying pool of assets. Common/collective trusts are valued at the net asset value per share (or its equivalent) which is based on the Plan's ownership interest in the fair value of the fund's underlying net assets. Investments in partnership interests and hedge funds are valued at the net asset value per share (or its equivalent) of the fund based on audited financial statements of the funds or partnership, where available, with adjustments to account for market activity and other applicable valuation adjustments. Short-term investments are valued at fair value based on quoted market value, if quoted, or otherwise at the outstanding balance including accrued interest. All other investments are based on quoted market values.

See Note 8 for additional information.

During 2012, the fair value of the Plan's interest in the Master Trust was based on the beginning of year value of the Plan's interest in the Master Trust plus actual contributions and allocated investment income less actual distributions and allocated administrative expenses (see Note 4).

# SPX US Pension Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies (Continued)

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

**Administrative Expenses** - Various administrative costs are paid by the Company.

**Benefit Payments** - Benefits are recorded when paid.

**Actuarial Present Value of Accumulated Plan Benefits** - Accumulated plan benefits are those future periodic payments that are attributable, under the Plan's provisions, to the service employees have rendered. These include benefits expected to be paid to:

- a. Retired or terminated employees or their beneficiaries
- b. Beneficiaries of employees who have died
- c. Present employees or their beneficiaries

Benefits are calculated based on the specific provisions outlined in the plan agreement.

**Actuarial Assumptions** - The significant actuarial assumptions used in the valuation of the Plan at December 31, 2012 are summarized as follows:

|                                |                                                                                            |
|--------------------------------|--------------------------------------------------------------------------------------------|
| Actuarial cost method          | - Unit credit cost method                                                                  |
| Assumed rate of return         | - 7.25 percent in 2012                                                                     |
| Mortality and disability basis | - RP-2000 Mortality Tables for males and females projected to 2018 using Scale AA in 2012  |
| Retirement basis               | - The participants will retire upon becoming eligible for normal retirement                |
| Retirement age                 | - A scale ranging from 2.5 percent between the ages of 55 and 59 and 100 percent at age 67 |

The foregoing actuarial assumptions are based on the presumption that the Plan will continue. Were the Plan to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated plan benefits.

**Use of Estimates** - The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies (Continued)

**Risks and Uncertainties** - Contributions to the Plan and the actuarial present value of accumulated plan benefits are reported based on certain assumptions pertaining to interest rates, inflation rates, employee compensation, and demographics. Due to the changing nature of these assumptions, it is at least reasonably possible that changes in these assumptions will occur in the near term and, due to the uncertainties inherent in setting assumptions, that the effect of such changes could be material to the financial statements. Investment securities are exposed to various risks, such as interest rate, market, and credit risks. It is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the statement of net assets available for benefits.

**Subsequent Events** - The financial statements and related disclosures include evaluation of events up through and including October 9, 2014, which is the date the financial statements were available to be issued.

### Note 3 - Unaudited Information

The Trustee holds the Plan's investments and executes all investment transactions. The investment balances and related investment income and losses included in the accompanying financial statements, supplemental schedules of assets held at end of year and schedule of reportable transactions for 2013, as well as the Master Trust information summarized in Note 4 for 2012, are based solely on information provided by the Trustee. Additionally, the Plan invests in certain investments managed by the Trustee.

Significant investments at December 31, 2013 are as follows:

Investments at fair value:

|                                               |               |
|-----------------------------------------------|---------------|
| Bridgewater All Weather Fund                  | \$ 51,053,458 |
| JPMCB Extended Duration Fund                  | 38,224,104    |
| Morgan Stanley Pooled Intl Equity Mutual Fund | 56,605,080    |
| JPMorgan US Govt MMKT - Premier Shr Fund      | 156,830,068   |
| PIMCO Funds StockPLUS Long Duration Fund      | 37,853,444    |

## SPX US Pension Plan

### Notes to Financial Statements December 31, 2013 and 2012

#### Note 4 - Interest in Master Trust

Through December 31, 2012, the investments of the IARP Plan and BU Plan were combined in the Master Trust. As a result of the merger discussed in Note 1, the Master Trust ceased to exist and held no assets subsequent to December 31, 2012. Under terms of a trust agreement between the Trustee and the Company, the assets of the Master Trust were held by the Trustee. Subsequent to December 31, 2012, the Trustee continued to hold the assets of the Plan. These transactions qualify as party-in-interest transactions as defined under ERISA guidelines. The Plan's assets in the Master Trust as of December 31, 2012 represented 100 percent of the total assets in the Master Trust as a result of the merger. Investment income and administrative expenses related to the Master Trust were allocated to the individual plans based on average monthly balances invested by each plan.

The following tables present the net assets and the investment income for the year ended December 31, 2012 for the Master Trust:

|                                                                  |                       |
|------------------------------------------------------------------|-----------------------|
| Investments - At fair value:                                     |                       |
| Corporate stock                                                  | \$ 75,721,015         |
| Corporate stock - Loaned                                         | 36,525,160            |
| Common/Collective trusts                                         | 397,038,019           |
| Mutual funds                                                     | 224,995,305           |
| Hedge funds                                                      | 155,652,084           |
| Partnership interests                                            | 1,748,110             |
| Short-term investments                                           | 36,976,671            |
| Other                                                            | 2,709,002             |
| Investment - At contract value - Insurance contract              | <u>1,483,530</u>      |
| Total investments                                                | 932,848,896           |
| Cash                                                             | 2,033,750             |
| Receivables                                                      | 1,520,329             |
| Collateral held under securities loan agreements - At fair value | <u>36,628,898</u>     |
| Total assets                                                     | 973,031,873           |
| Pending security transactions                                    | 346,138               |
| Obligations under securities loan agreements                     | <u>37,394,839</u>     |
| Total liabilities                                                | <u>37,740,977</u>     |
| Net assets of Master Trust                                       | <u>\$ 935,290,896</u> |

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 4 - Interest in Master Trust (Continued)

|                                                                             |                       |
|-----------------------------------------------------------------------------|-----------------------|
| Investment income:                                                          |                       |
| Interest                                                                    | \$ 37,733             |
| Dividends                                                                   | 15,946,768            |
| Net realized and unrealized gains:                                          |                       |
| Common/Collective trusts                                                    | 39,889,989            |
| Mutual funds                                                                | 30,409,304            |
| Hedge funds                                                                 | 12,786,961            |
| Other - Primarily corporate stocks                                          | 16,780,402            |
| Collateral held under securities loan agreements - fixed income investments | <u>590,505</u>        |
| Total investment income                                                     | <u>\$ 116,441,662</u> |

### Note 5 - Securities Lending

On December 6, 2006, the SPX Corporation Retirement and Welfare Plan Administrative Committee entered into a separate agreement with the Trustee. The agreement authorizes the Trustee to lend securities held in the Plan's accounts to third parties (the "Borrower"). Under the terms of the agreement, the Trustee must obtain collateral from the Borrower, generally cash or acceptable securities, having a market value of 102 percent of the loaned securities for U.S. securities and 105 percent of the loaned securities for non-U.S. securities. Both the collateral and the securities loaned are marked-to-market on a daily basis so that all loaned securities are more than fully collateralized at all times. In the event that the loaned securities are not returned by the Borrower, the Trustee will, at its own expense, either replace the loaned securities or, if unable to purchase those securities on the open market, credit the Plan's accounts with cash equal to the fair value of the loaned securities. Investment income, excluding any realized or unrealized gains or losses from securities lent, was approximately \$163,000 and \$275,000 during the year ended December 31, 2013 and 2012, respectively.

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Securities Lending (Continued)

The collateral received pursuant to securities lending transactions is reflected as a liability in the statement of net assets available for benefits at December 31, 2013 and the summary of net assets of the Master Trust at December 31, 2012 (see Note 4). To the extent that a loan of securities is secured by cash collateral, such collateral is invested in pooled investments managed by the Trustee. At December 31, 2013 and 2012, these pooled investments were primarily invested in fixed-income investments. The Plan bears the risk of loss (reward of gain) with respect to unfavorable (favorable) changes in the fair value of the invested collateral. If applicable, this difference in value of the investments purchased with the cash collateral received and the amount due to the Borrowers upon return of securities on loan is recorded as an unrealized gain (loss) and is included in the statement of changes in net assets available for benefits in net realized and unrealized gains (losses) on investments from collateral held under securities loan agreements for 2013 and interest income from the Master Trust for 2012.

Although the Plan's securities lending activities are collateralized as described above, and although the terms of the securities lending agreement with the Trustee requires the Trustee to comply with government rules and regulations related to the lending of securities held by ERISA plans, the securities lending program involves both market and credit risk. In this context, market risk refers to the possibility that the Borrower of the securities will be unable to collateralize the loan upon a sudden material change in the fair value of the loaned securities or the collateral, or that the Plan's investment of collateral received from the Borrower of the Plan's securities may be subject to unfavorable market fluctuations. Credit risk refers to the possibility that counterparties involved in the securities lending program may fail to perform in accordance with the terms of their contracts.

### Note 6 - Benefit Obligations

The actuarial present value of accumulated plan benefits is determined by consulting actuaries from Towers Watson. The calculations of the estimated present value of accumulated plan benefits attributable to participants in the Plan, which were made as of and for the year ended December 31, 2012, include the impact of the merger of the BU Plan (see Note 1) and are as follows:

Actuarial present value of accumulated plan benefits:

Vested benefits:

|                                                   |                    |
|---------------------------------------------------|--------------------|
| Participants currently receiving benefit payments | \$ 530,951,639     |
| Other vested participants                         | <u>346,270,049</u> |
| Total vested benefits                             | 877,221,688        |

|                    |                  |
|--------------------|------------------|
| Nonvested benefits | <u>1,266,175</u> |
|--------------------|------------------|

|                                                            |                       |
|------------------------------------------------------------|-----------------------|
| Total actuarial present value of accumulated plan benefits | <u>\$ 878,487,863</u> |
|------------------------------------------------------------|-----------------------|

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 6 - Benefit Obligations (Continued)

#### Actuarial Present Value of Accumulated Plan Benefits -

|                                                      |                    |
|------------------------------------------------------|--------------------|
| Beginning of year                                    | \$ 670,854,698     |
| Increase (decrease) during the year attributable to: |                    |
| Benefits accumulated                                 | 4,392,660          |
| Actuarial losses                                     | 27,974,321         |
| Interest due to the decrease in the discount period  | 46,274,763         |
| Change in actuarial and other assumptions            | 11,987,616         |
| Benefits paid                                        | (57,617,195)       |
| Transfer of BU Plan                                  | 174,621,000        |
| Net increase                                         | <u>207,633,165</u> |

#### Actuarial Present Value of Accumulated Plan Benefits -

|             |                       |
|-------------|-----------------------|
| End of year | <u>\$ 878,487,863</u> |
|-------------|-----------------------|

For the year ended December 31, 2012, the increase in actuarial present value of accumulated plan benefits related to the change in actuarial and other assumptions was due primarily to the change in the mortality and disability basis from the 1994 Uninsured Pensioner Tables for males (set forward two years) and females projected to 2012 to the RP-2000 Mortality Tables for males and females projected to 2018 using Scale AA in 2012.

### Note 7 - Tax Status

The Plan has received a determination letter from the Internal Revenue Service indicating that the Plan, as designed, is qualified for tax-exempt treatment under the applicable section of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, management believes that the Plan is designed and is currently being operated in compliance with the applicable requirements of the IRC.

Accounting principles generally accepted in the United States of America require plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the Internal Revenue Service. The plan administrator has analyzed the tax positions taken by the Plan and has concluded that as of December 31, 2013, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The plan administrator believes the Plan is no longer subject to tax examinations for years prior to 2010.

### Note 8 - Fair Value Measurements

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. Accounting standards require certain assets and liabilities be reported at fair value in the financial statements and provide a framework for establishing that fair value. The framework for determining fair value is based on the following hierarchy that prioritizes the inputs and valuation techniques used to measure fair value.

**Level 1** - Fair values determined by Level 1 inputs use readily observable quoted prices for identical assets in active markets that the Plan has the ability to access.

**Level 2** - Fair values determined by Level 2 inputs use other inputs that are observable, either directly or indirectly. These Level 2 inputs include quoted prices for similar assets in active markets, quoted prices for identical or similar assets in markets that are not active and inputs other than quoted prices that are observable.

**Level 3** - Level 3 inputs are unobservable inputs, including inputs that are available in situations where there is little, if any, market activity for the related asset. These Level 3 fair value measurements are based primarily on management's own estimates using pricing models, discounted cash flow methodologies, or similar techniques that take into account the characteristics of the asset. Level 3 inputs include unadjusted net asset value or adjusted net asset value for subsequent events.

In instances whereby inputs used to measure fair value fall into different levels in the above fair value hierarchy, fair value measurements in their entirety are categorized based on the lowest level input that is significant to the valuation. The Plan's assessment of the significance of particular inputs to these fair value measurements requires judgment and considers factors specific to each asset.

**Restatement** - Due to a re-evaluation of the significance of the inputs used in the valuation of three investments, it was determined that the following investment classifications should be changed from the prior year based on the fair value hierarchy:

- One fixed-income common/collective trust fund previously classified as Level 1 should have been classified as Level 2 (the fair value of this fund was \$16.6 million and \$69.2 million at December 31, 2013 and 2012, respectively)
- One global fixed-income mutual fund previously classified as a Level 2 common collective fund should have been classified as Level 1 (the fair value of this fund was \$12.6 million and \$30.2 million at December 31, 2013 and 2012, respectively)
- One hedge fund previously classified as Level 3 should have been classified as Level 2 (the fair value of this fund was \$51.1 million and \$105.6 million at December 31, 2013 and 2012, respectively)

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 8 - Fair Value Measurements (Continued)

Accordingly, the following 2012 fair value disclosure has been updated to reflect this change.

Assets measured at fair value on a recurring basis include the following:

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2013

|                                                                                   | Level 1               | Level 2               | Level 3             | Balance at<br>December 31,<br>2013 |
|-----------------------------------------------------------------------------------|-----------------------|-----------------------|---------------------|------------------------------------|
| Corporate stock:                                                                  |                       |                       |                     |                                    |
| Capital equipment                                                                 | \$ 4,817,568          | \$ -                  | \$ -                | \$ 4,817,568                       |
| Consumer goods                                                                    | 3,204,848             | -                     | -                   | 3,204,848                          |
| Energy                                                                            | 1,854,187             | -                     | -                   | 1,854,187                          |
| Finance                                                                           | 3,352,161             | -                     | -                   | 3,352,161                          |
| Materials                                                                         | 2,890,919             | -                     | -                   | 2,890,919                          |
| Services                                                                          | 1,426,468             | -                     | -                   | 1,426,468                          |
| Other                                                                             | 8,902,516             | -                     | -                   | 8,902,516                          |
| Common/Collective trusts:                                                         |                       |                       |                     |                                    |
| Global equity common trust<br>funds (1)                                           | -                     | 73,598,067            | 6,845,277           | 80,443,344                         |
| Fixed-income common trust<br>funds (2)                                            | -                     | 78,463,403            | -                   | 78,463,403                         |
| Mutual funds:                                                                     |                       |                       |                     |                                    |
| Global equity fund                                                                | 37,853,444            | -                     | -                   | 37,853,444                         |
| Global fixed-income fund                                                          | 12,634,884            | -                     | -                   | 12,634,884                         |
| Global commingled fund                                                            | 20,031,506            | -                     | -                   | 20,031,506                         |
| Hedge fund (3)                                                                    | -                     | 51,053,458            | -                   | 51,053,458                         |
| Partnership interest (4)                                                          | -                     | -                     | 695,013             | 695,013                            |
| Short-term investments                                                            | 156,830,702           | -                     | -                   | 156,830,702                        |
| Other                                                                             | 530,055               | -                     | -                   | 530,055                            |
| Collateral held under securities<br>loan agreements - fixed<br>income investments | 13,016,855            | -                     | -                   | 13,016,855                         |
| Total                                                                             | <u>\$ 267,346,113</u> | <u>\$ 203,114,928</u> | <u>\$ 7,540,290</u> | <u>\$ 478,001,331</u>              |

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 8 - Fair Value Measurements (Continued)

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2012

|                                                                                 | Level 1               | Level 2               | Level 3              | Balance at<br>December 31,<br>2012 |
|---------------------------------------------------------------------------------|-----------------------|-----------------------|----------------------|------------------------------------|
| Corporate stock:                                                                |                       |                       |                      |                                    |
| Capital equipment                                                               | \$ 20,221,014         | \$ -                  | \$ -                 | \$ 20,221,014                      |
| Consumer goods                                                                  | 17,680,324            | -                     | -                    | 17,680,324                         |
| Energy                                                                          | 8,825,947             | -                     | -                    | 8,825,947                          |
| Finance                                                                         | 8,213,273             | -                     | -                    | 8,213,273                          |
| Materials                                                                       | 9,375,830             | -                     | -                    | 9,375,830                          |
| Services                                                                        | 10,619,039            | -                     | -                    | 10,619,039                         |
| Other                                                                           | 37,310,748            | -                     | -                    | 37,310,748                         |
| Common/Collective trusts:                                                       |                       |                       |                      |                                    |
| Global equity common trust<br>funds (1)                                         | -                     | 127,913,466           | 28,952,765           | 156,866,231                        |
| Fixed-income common trust<br>funds (2)                                          | -                     | 238,788,046           | 1,383,742            | 240,171,788                        |
| Mutual funds:                                                                   |                       |                       |                      |                                    |
| Global equity funds                                                             | 103,596,258           | -                     | -                    | 103,596,258                        |
| Global fixed-income funds                                                       | 30,190,434            | -                     | -                    | 30,190,434                         |
| Global commingled funds                                                         | 91,208,613            | -                     | -                    | 91,208,613                         |
| Hedge funds (3)                                                                 | -                     | 105,614,657           | 50,037,427           | 155,652,084                        |
| Partnership interests (4)                                                       | -                     | -                     | 1,748,110            | 1,748,110                          |
| Short-term investments                                                          | 36,976,671            | -                     | -                    | 36,976,671                         |
| Other                                                                           | 2,352,702             | 356,300               | -                    | 2,709,002                          |
| Collateral held under securities<br>loan agreements - Short-term<br>investments | 36,628,898            | -                     | -                    | 36,628,898                         |
| Total                                                                           | <u>\$ 413,199,751</u> | <u>\$ 472,672,469</u> | <u>\$ 82,122,044</u> | <u>\$ 967,994,264</u>              |

- (1) This class represents investments in actively managed common trust funds that invest primarily in equity securities, which may include common stocks, options, and futures.
- (2) This class represents investments in actively managed common trust funds that invest in a variety of fixed-income investments, which may include corporate bonds, U.S. and non-U.S. municipal securities, interest rate swaps, options, and futures.
- (3) This class represents funds composed of investments in underlying hedge funds that invest in both equity and debt securities.
- (4) This class represents investments in private equity funds related primarily to venture capital.

There were no unfunded commitments or redemptions restrictions on the above investments.

There were no significant transfers between Level 1 and Level 2 of the fair value hierarchy during 2012. It is our policy to recognize transfers between Levels at the beginning of the fiscal year.

# SPX US Pension Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 8 - Fair Value Measurements (Continued)

The following table sets forth a summary of the changes in the fair value of the Plan's Level 3 assets for the years ended December 31, 2013 and 2012:

|                                       | Fair Value at<br>January 1,<br>2013 | Purchases and<br>Issuances | Sales and<br>Settlements | Total Realized<br>Gains | Total<br>Unrealized<br>Gains (Losses) | Transfers Out<br>of Level 3 | Fair Value at<br>December 31,<br>2013 | Unrealized<br>Gain (Loss)<br>Attributable to<br>Assets Held at<br>December 31,<br>2013 |
|---------------------------------------|-------------------------------------|----------------------------|--------------------------|-------------------------|---------------------------------------|-----------------------------|---------------------------------------|----------------------------------------------------------------------------------------|
| Hedge funds                           | \$ 50,037,427                       | \$ -                       | \$ (50,864,024)          | \$ 864,025              | \$ (37,428)                           | \$ -                        | \$ -                                  | \$ -                                                                                   |
| Fixed-income common trust<br>funds    | 1,383,742                           | -                          | (1,399,784)              | 16,042                  | -                                     | -                           | -                                     | -                                                                                      |
| Global equity common trust<br>funds   | 28,952,765                          | 3,071,411                  | (25,730,172)             | -                       | 551,273                               | -                           | 6,845,277                             | 551,273                                                                                |
| Partnership interests                 | 1,748,110                           | -                          | (899,300)                | 20,609                  | (174,406)                             | -                           | 695,013                               | (174,406)                                                                              |
| Total Level 3 assets at<br>fair value | <u>\$ 82,122,044</u>                | <u>\$ 3,071,411</u>        | <u>\$ (78,893,280)</u>   | <u>\$ 900,676</u>       | <u>\$ 339,439</u>                     | <u>\$ -</u>                 | <u>\$ 7,540,290</u>                   | <u>\$ 376,867</u>                                                                      |

  

|                                       | Fair Value at<br>January 1,<br>2012 | Purchases and<br>Issuances | Sales and<br>Settlements | Total Realized<br>Gains | Total<br>Unrealized<br>Gains (Losses) | Fair Value at<br>December 31,<br>2012 | Unrealized<br>Gain (Loss)<br>Attributable to<br>Assets Held at<br>December 31,<br>2012 |
|---------------------------------------|-------------------------------------|----------------------------|--------------------------|-------------------------|---------------------------------------|---------------------------------------|----------------------------------------------------------------------------------------|
| Hedge funds                           | \$ 50,130,829                       | \$ -                       | \$ -                     | \$ -                    | \$ (93,402)                           | \$ 50,037,427                         | \$ (93,402)                                                                            |
| Fixed-income common trust<br>funds    | 1,384,913                           | -                          | -                        | -                       | (1,171)                               | 1,383,742                             | (1,171)                                                                                |
| Global equity common trust<br>funds   | 24,403,862                          | 2,843,891                  | -                        | -                       | 1,705,012                             | 28,952,765                            | 1,705,012                                                                              |
| Partnership interests                 | 2,450,802                           | -                          | (679,826)                | 69,285                  | (92,151)                              | 1,748,110                             | (92,151)                                                                               |
| Total Level 3 assets at<br>fair value | <u>\$ 78,370,406</u>                | <u>\$ 2,843,891</u>        | <u>\$ (679,826)</u>      | <u>\$ 69,285</u>        | <u>\$ 1,518,288</u>                   | <u>\$ 82,122,044</u>                  | <u>\$ 1,518,288</u>                                                                    |

Of the Level 3 assets still held by the Plan at December 31, 2013 and 2012, the unrealized gains and losses are recognized in the statement of changes in net assets available for benefits.

Both observable and unobservable inputs may be used to determine the fair value of positions classified as Level 3 assets and liabilities. As a result, the unrealized gains and losses for these assets and liabilities presented in the tables above may include changes in fair value that were attributable to both observable and unobservable inputs.

The Master Trust and the Plan also holds other assets not measured at fair value on a recurring basis, including insurance contracts, receivables, and pending securities transactions. The fair value of the receivables and pending securities transactions approximates the carrying amounts in the accompanying financial statements due to the short maturity of the instruments. The insurance contract invests in the general assets of various insurance companies; however, since there are no specific securities in the insurance companies general accounts related to the contract and due to the contract terms, including the frequency of the interest rate reset intervals, contract value approximates fair value. Contract value represents deposits made to the contract, plus earnings at guaranteed crediting rates, less withdrawals and fees.

## **SPX US Pension Plan**

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### **Notes to Financial Statements December 31, 2013 and 2012**

#### **Note 8 - Fair Value Measurements (Continued)**

The Company has processes in place to select the appropriate valuation techniques and unobservable inputs to perform Level 3 fair value measurements. Processes include meetings with the investment custodian and annual reviews of the audited financial statements of investments valued at the net asset value per share and terms of the contract.

#### **Note 9 - Subsequent Events**

During a designated election period in the first quarter of 2014, the Plan was amended to offer approximately 7,500 eligible former employees under the Plan a voluntary single lump-sum payment option in lieu of a future pension benefit under the Plan.