

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6047(e), 6057(b), and 6058(a) of the Internal Revenue Code (the Code). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 2013 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
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:	☐ a multiemployer plan; ☐ a multiple-employer plan; or ☒ a single-employer plan; ☐ a DFE (specify) ____
B This return/report is:	☐ the first return/report; ☐ the final return/report; ☒ an amended return/report; ☐ a short plan year return/report (less than 12 months).
C If the plan is a collectively-bargained plan, check here.	☒
D Check box if filing under:	☐ Form 5558; ☐ automatic extension; ☐ the DFVC program; ☐ special extension (enter description)

Part II	Basic Plan Information —enter all requested information				
1a Name of plan <u>ROCKWELL COLLINS PENSION PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>12/06/1996</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>001</u>	1c Effective date of plan <u>12/06/1996</u>	
1b Three-digit plan number (PN) ▶	<u>001</u>				
1c Effective date of plan <u>12/06/1996</u>					
2a Plan sponsor's name and address; include room or suite number (employer, if for a single-employer plan) <u>ROCKWELL COLLINS, INC.</u> <u>400 COLLINS ROAD, MAIL CODE 124-318</u> <u>CEDAR RAPIDS, IA 52498</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>52-2314475</u></td> </tr> <tr> <td>2c Sponsor's telephone number <u>714-503-1032</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>335900</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>52-2314475</u>	2c Sponsor's telephone number <u>714-503-1032</u>	2d Business code (see instructions) <u>335900</u>	
2b Employer Identification Number (EIN) <u>52-2314475</u>					
2c Sponsor's telephone number <u>714-503-1032</u>					
2d Business code (see instructions) <u>335900</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.

SIGN HERE	Filed with authorized/valid electronic signature.	12/02/2014	ROSA BARONE
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	12/02/2014	ROSA BARONE
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE
Preparer's name (including firm name, if applicable) and address; include room or suite number. (optional)			Preparer's telephone number (optional)

3a Plan administrator's name and address ☒ Same as Plan Sponsor Name ☐ Same as Plan Sponsor Address		3b Administrator's EIN
4 If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report:		3c Administrator's telephone number
a Sponsor's name		
4b EIN		
4c PN		
5 Total number of participants at the beginning of the plan year		5 32966
6 Number of participants as of the end of the plan year (welfare plans complete only lines 6a , 6b , 6c , and 6d).		
a Active participants		6a 9821
b Retired or separated participants receiving benefits		6b 11337
c Other retired or separated participants entitled to future benefits		6c 10547
d Subtotal. Add lines 6a , 6b , and 6c		6d 31705
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits		6e 984
f Total. Add lines 6d and 6e		6f 32689
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g
h Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested		6h 36
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)		7
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 1A 3F 3H		
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:		

9a Plan funding arrangement (check all that apply)	9b Plan benefit arrangement (check all that apply)
(1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	(1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)	
a Pension Schedules	b General Schedules
(1) ☒ R (Retirement Plan Information)	(1) ☒ H (Financial Information)
(2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary	(2) ☐ I (Financial Information – Small Plan)
(3) ☒ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary	(3) ☐ A (Insurance Information)
	(4) ☒ C (Service Provider Information)
	(5) ☒ D (DFE/Participating Plan Information)
	(6) ☐ G (Financial Transaction Schedules)

SCHEDULE SB (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Single-Employer Defined Benefit Plan Actuarial Information 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). ▶ File as an attachment to Form 5500 or 5500-SF.	OMB No. 1210-0110 2013 This Form is Open to Public Inspection
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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.

A Name of plan <u>ROCKWELL COLLINS PENSION PLAN</u>	B Three-digit plan number (PN) ▶ <u>001</u>
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF <u>ROCKWELL COLLINS, INC.</u>	D Employer Identification Number (EIN) <u>52-2314475</u>
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500

Part I	Basic Information
1 Enter the valuation date: Month _____ Day _____ Year _____	
2 Assets:	
a Market value	2a <u>2535769828</u>
b Actuarial value	2b <u>2535769828</u>
3 Funding target/participant count breakdown:	
a For retired participants and beneficiaries receiving payment.....	3a <u>12248</u> (1) Number of participants <u>1629537263</u> (2) Funding Target
b For terminated vested participants.....	3b <u>11206</u> <u>360018934</u>
c For active participants:	
(1) Non-vested benefits	3c(1) <u>26998879</u>
(2) Vested benefits	3c(2) <u>689908364</u>
(3) Total active.....	3c(3) <u>10821</u> <u>716907243</u>
d Total.....	3d <u>34275</u> <u>2706463440</u>
4 If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐	
a Funding target disregarding prescribed at-risk assumptions	4a
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.....	4b
5 Effective interest rate	5 <u>6.65 %</u>
6 Target normal cost	6 <u>14806816</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.

SIGN HERE		<u>10/31/2014</u>
Signature of actuary		Date
<u>JAMES P NEAL</u>		<u>14-06418</u>
Type or print name of actuary		Most recent enrollment number
<u>TOWERS WATSON DELAWARE INC.</u>		<u>703-258-8000</u>
Firm name		Telephone number (including area code)
<u>901 N GLEBE ROAD</u> <u>ARLINGTON, VA 22203-8215</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	87315893
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	87315893
10 Interest on line 9 using prior year's actual return of <u>14.30</u> %		12486173
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year)		49019194
b Interest on (a) using prior year's effective interest rate of <u>7.00</u> % except as otherwise provided (see instructions)		3431344
c Total available at beginning of current plan year to add to prefunding balance		52450538
d Portion of (c) to be added to prefunding balance		52450538
12 Other reductions in balances due to elections or deemed elections	0	0
13 Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	0	152252604

Part III Funding Percentages		
14 Funding target attainment percentage	14	88.06 %
15 Adjusted funding target attainment percentage	15	88.06 %
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	82.96 %
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 (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
01/16/2013	10426099				
10/10/2013	55000000				
			Totals ►	18(b)	65426099
				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 0
b Contributions made to avoid restrictions adjusted to valuation date	19b 10398167
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c 52323047
20 Quarterly contributions and liquidity shortfalls:	
a Did the plan have a "funding shortfall" for the prior year?	☒ Yes ☐ No
b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner?	☒ Yes ☐ 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

21 Discount rate:			
a Segment rates:	1st segment: 5.23%	2nd segment: 6.51%	3rd segment: 7.16 %
			☐ N/A, full yield curve used
b Applicable month (enter code).....			21b 0
22 Weighted average retirement age			22 63
23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute			

Part VI Miscellaneous Items

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

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

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

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):			
a Target normal cost (line 6).....		31a	14806816
b Excess assets, if applicable, but not greater than line 31a		31b	0
32 Amortization installments:		Outstanding Balance	Installment
a Net shortfall amortization installment.....		322946216	78681031
b Waiver amortization installment		0	0
33 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		33	0
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33) ..		34	93487847
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement.....	0	57582147	57582147
36 Additional cash requirement (line 34 minus line 35).....		36	35905700
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c).....		37	52323047
38 Present value of excess contributions for current year (see instructions)			
a Total (excess, if any, of line 37 over line 36)		38a	16417347
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances		38b	16417347
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)		39	0
40 Unpaid minimum required contributions for all years		40	0

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

41 If an election was made to use PRA 2010 funding relief for this plan:			
a Schedule elected		☐ 2 plus 7 years ☒ 15 years	
b Eligible plan year(s) for which the election in line 41a was made		☐ 2008 ☒ 2009 ☒ 2010 ☐ 2011	
42 Amount of acceleration adjustment		42 11701416	
43 Excess installment acceleration amount to be carried over to future plan years		43 0	

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

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

A Name of plan ROCKWELL COLLINS PENSION PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 ROCKWELL COLLINS, INC.	D Employer Identification Number (EIN) 52-2314475	

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) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
THE VANGUARD GROUP
23-1945930

(b) Enter name and EIN or address of person who provided you disclosure on eligible indirect compensation
STATE STREET GLOBAL ADVISORS
04-1867445

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
UBS GLOBAL ASSET MANAGEMENT
36-3718331

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
CAUSEWAY CAPITAL MANAGEMENT LLC
95-4861680

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

WELLS CAPITAL MANAGEMENT

95-3692822

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

MELLON CAPITAL MANAGEMENT

25-1442864

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

BNY MELLON ASSET SERVICING

13-5160382

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

HOTCHKIS & WILEY CAPITAL MANAGEMENT

95-4871957

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

SEIX INVESTMENT ADVISORS LLC RIDGEW

58-1604573

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

EPOCH INVESTMENT PARTNERS

20-1003862

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

INTEGRITY ASSET MANAGEMENT, LLC

38-3212521

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

FAYEZ SAROFIM CO.

74-1312679

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)

PRIMECAP MANAGEMENT COMPANY

95-3868081

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51	NONE	1088341	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

INTEGRITY ASSET MANAGEMENT LLC

38-3212521

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 68 99	NONE	937396	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

EPOCH

20-1003862

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 68	NONE	863464	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

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

WCM INVESTMENT MANAGEMENT

95-3046237

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51	NONE	807843	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

WELLS CAPTIAL MANAGEMENT

95-3692822

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 61	NONE	777073	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

HOTCHKIS & WILEY CAPTIAL MANAGEMENT

95-4871957

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 68	NONE	661551	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

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

FAYEZ SAROFIM & CO

74-1312679

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 56 68	NONE	562735	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

STANDISH MELLON ASSET MGT LLC

25-1890416

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51	NONE	463738	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

JP MORGAN INVESTMENT MANAGEMENT INC

13-3200244

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 27	NONE	423311	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

TOWERS WATSON

53-0181291

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
11 50 49	NONE	379295	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

SEIX INVESTMENT ADVISORS

26-1483110

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51	NONE	313319	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

UBS GLOBAL ASSET MGT TRUST COMPANY

36-3718331

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 61	NONE	307532	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

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

STATE STREET GLOBAL ADVISORS

04-1867445

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
19 28 51	NONE	281036	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

CAUSEWAY CAPITAL MANAGEMENT

95-4861680

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 56 68	NONE	246445	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

BNY MELLON ASSET SERVICING

13-5160382

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
21 62 99	NONE	239367	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

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

CLEARBROOK GLOBAL ADVISORS

11-3290218

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
70 16	NONE	160000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

MELLON CAPITAL MANAGEMENT

25-1442864

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 19 71	NONE	96173	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

DELOITTE & TOUCHE

13-3891517

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10 50	NONE	47500	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

WELLS FARGO BANK

94-2984230

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
65 50	NONE	37174	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

SEYFARTH SHAW

36-2152202

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	25388	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

ROCKWELL COLLINS

52-2314475

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	PLAN SPONSOR	22159	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

PENSION BENEFIT INFORMATION

94-2856521

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	19695	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

CEDAR GRAPHICS

42-1280051

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
36 50	NONE	18012	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

FIDELITY INV INST OPS CO

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	5500	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

THE VANGUARD GROUP

23-1945930

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 52 60	NONE	0	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

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

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
THE VANGUARD GROUP	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
VANGUARD INTERNATIONAL GROWTH 23-1945930	0.35%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

<p style="text-align: center;">SCHEDULE D (Form 5500)</p> <p style="text-align: center; font-size: small;">Department of the Treasury Internal Revenue Service</p> <hr/> <p style="text-align: center; font-size: small;">Department of Labor Employee Benefits Security Administration</p>	<p style="text-align: center;">DFE/Participating Plan Information</p> <p style="text-align: center; font-size: small;">This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).</p> <p style="text-align: center; font-weight: bold;">▶ File as an attachment to Form 5500.</p>	<p style="text-align: center; font-size: small;">OMB No. 1210-0110</p> <hr/> <p style="text-align: center; font-size: large; font-weight: bold;">2013</p> <hr/> <p style="text-align: center; font-size: small;">This Form is Open to Public Inspection.</p>
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For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan ROCKWELL COLLINS PENSION PLAN	B Three-digit plan number (PN) ▶	001
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 ROCKWELL COLLINS, INC.	D Employer Identification Number (EIN) 52-2314475	

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

a Name of MTIA, CCT, PSA, or 103-12 IE: EB DV STOCK INDEX FUND			
b Name of sponsor of entity listed in (a): THE BANK OF NEW YORK MELLON			
c EIN-PN 25-6078093-010	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 100875339	
a Name of MTIA, CCT, PSA, or 103-12 IE: UBS EMERGING MKTS DEBT COLLECTIVE			
b Name of sponsor of entity listed in (a): UBS US GROUP TRUST			
c EIN-PN 36-3762086-067	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 48418710	
a Name of MTIA, CCT, PSA, or 103-12 IE: JPMCP EXTENDED DURATION FUND			
b Name of sponsor of entity listed in (a): JP MORGAN CHASE BANK, N.A.			
c EIN-PN 26-0356040-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 16388200	
a Name of MTIA, CCT, PSA, or 103-12 IE: EB DV LGE CAP GRWTH SIF			
b Name of sponsor of entity listed in (a): THE BANK OF NEW YORK MELLON			
c EIN-PN 25-6078093-003	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 169378709	
a Name of MTIA, CCT, PSA, or 103-12 IE: LONG US TREASURY INDEX NL FD			
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY			
c EIN-PN 04-0025081-479	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 30199996	
a Name of MTIA, CCT, PSA, or 103-12 IE: 20 YR US HIGH QUALITY CORP BD NL FD			
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY			
c EIN-PN 90-0337987-296	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 199661377	
a Name of MTIA, CCT, PSA, or 103-12 IE: 5-20 YR US HIGH QUALITY CORP BD NL			
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY			
c EIN-PN 90-0337987-297	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 72499186	

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

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

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

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

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2013 This Form is Open to Public Inspection
For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013		
A Name of plan ROCKWELL COLLINS PENSION PLAN		B Three-digit plan number (PN) ► 001
C Plan sponsor's name as shown on line 2a of Form 5500 ROCKWELL COLLINS, INC.		D Employer Identification Number (EIN) 52-2314475

Part I Asset and Liability Statement			
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.			
Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	13152346	13628451
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions.....	1b(1)	44573901	0
(2) Participant contributions.....	1b(2)		
(3) Other.....	1b(3)	12620576	15008074
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit).....	1c(1)	4382645	11567535
(2) U.S. Government securities	1c(2)	188926379	124690706
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other.....	1c(3)(B)	317764981	583951709
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	2766687	313660
(B) Common.....	1c(4)(B)	1129172809	1149990504
(5) Partnership/joint venture interests	1c(5)	83164	456182
(6) Real estate (other than employer real property).....	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans.....	1c(8)		
(9) Value of interest in common/collective trusts	1c(9)	589897059	637421517
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities.....	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds).....	1c(13)	235869511	290070747
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)	8083850	21846471

1d Employer-related investments:

		(a) Beginning of Year	(b) End of Year
(1) Employer securities	1d(1)		
(2) Employer real property	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	2547293908	2848945556

Liabilities

g Benefit claims payable	1g		
h Operating payables	1h	3808212	2233246
i Acquisition indebtedness	1i	6375280	3632426
j Other liabilities	1j	1215106	1218142
k Total liabilities (add all amounts in lines 1g through 1j)	1k	11398598	7083814

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	2535895310	2841861742
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Part II Income and Expense Statement

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

Income

		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	65426099	
(B) Participants	2a(1)(B)		
(C) Others (including rollovers)	2a(1)(C)		
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		65426099
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	15848	
(B) U.S. Government securities	2b(1)(B)	3988156	
(C) Corporate debt instruments	2b(1)(C)	20222518	
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)		
(F) Other	2b(1)(F)	354840	
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		24581362
(2) Dividends: (A) Preferred stock	2b(2)(A)	433772	
(B) Common stock	2b(2)(B)	24680324	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	4542376	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		29656472
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	1078916734	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	1006661772	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		72254962
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		
(B) Other	2b(5)(B)	218092227	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		218092227

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		35244459
(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)		40375013
c Other income	2c		546583
d Total income. Add all income amounts in column (b) and enter total	2d		486177177

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	162905234	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3)	2e(4)		162905234
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)	857050	
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)	7829957	
(4) Other	2i(4)	8618504	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		17305511
j Total expenses. Add all expense amounts in column (b) and enter total	2j		180210745

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		305966432
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: **DELOITTE & TOUCHE, LLP**

(2) EIN: **13-3891517**

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
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)		X	
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)		X	
4d		X	
e Was this plan covered by a fidelity bond?	X		25000000
4e	X		25000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.)		X	
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		X	
4k		X	
l Has the plan failed to provide any benefit when due under the plan?		X	
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m			
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

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

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

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

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

Part V Trust Information (optional)

6a Name of trust ROCKWELL COLLINS MASTER TRUST	6b Trust's EIN 232871599
--	------------------------------------

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Retirement Plan Information This schedule is required to be filed under section 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110 2013 This Form is Open to Public Inspection.
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For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan <u>ROCKWELL COLLINS PENSION PLAN</u>	B Three-digit plan number (PN) ▶ <u>001</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>ROCKWELL COLLINS, INC.</u>	D Employer Identification Number (EIN) <u>52-2314475</u>

Part I	Distributions
---------------	----------------------

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

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....	1	<u>0</u>
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): <u>23-2871599</u>		
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.		
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year.....	3	<u>132</u>

Part II	Funding Information (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)
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4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?.....	☐ Yes	☒ No	☐ N/A
If the plan is a defined benefit plan, go to line 8.			
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.			
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived).....	6a		
b Enter the amount contributed by the employer to the plan for this plan year.....	6b		
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount)	6c		
If you completed line 6c, skip lines 8 and 9.			
7 Will the minimum funding amount reported on line 6c be met by the funding deadline?.....	☐ Yes	☐ No	☐ N/A
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?.....	☐ Yes	☐ No	☒ N/A

Part III	Amendments
-----------------	-------------------

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box.....	☐ Increase	☐ Decrease	☐ Both	☒ No
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Part IV	ESOPs (see instructions). If this is not a plan described under Section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.
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10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?	☐ Yes	☐ No
11 a Does the ESOP hold any preferred stock?	☐ Yes	☐ No
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.).....	☐ Yes	☐ No
12 Does the ESOP hold any stock that is not readily tradable on an established securities market?	☐ Yes	☐ No

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

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

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

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

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

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

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

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

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

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

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

- a** Enter the percentage of plan assets held as:

Stock: 61% Investment-Grade Debt: 32% High-Yield Debt: 5% Real Estate: 0% Other: 2%

- 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):

Rockwell Collins Pension Plan

EIN #: 52-2314475, Plan #: 001

**Financial Statements as of and for the
Years Ended December 31, 2013 and 2012,
Supplemental Schedules as of and for the
Year Ended December 31, 2013 and
Independent Auditors' Report**

ROCKWELL COLLINS PENSION PLAN

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

INDEPENDENT AUDITORS' REPORT

To the Participants of the Rockwell Collins Pension Plan
Cedar Rapids, Iowa

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Rockwell Collins Pension Plan (the "Plan") as of December 31, 2013 and 2012, and for the years then ended, listed in the foregoing Table of Contents.

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.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audit 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, the Plan Administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 9, which was certified by The Bank of New York Mellon, the trustee of the Plan, 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 investment transactions. The Plan Administrator has obtained certifications from the trustee as of December 31, 2013 and 2012, and for the years then ended, that the information provided to the Plan Administrator by the trustee is complete and accurate.

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 listed in the Table of Contents are required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 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 Department of Labor 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 the Employee Retirement Income Security Act of 1974.

Deloitte + Touche LLP

July 24, 2014

ROCKWELL COLLINS PENSION PLAN

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS AS OF DECEMBER 31, 2013 AND 2012

	<u>2013</u>	<u>2012</u>
ASSETS:		
Non-interest bearing cash	\$ 13,628,451	\$ 13,152,346
Investments:		
Equity investments	1,703,956,914	1,550,070,347
Fixed income investments	1,081,767,411	913,251,682
Securities on loan under lending agreement	1,170,700	1,158,561
Interest-bearing cash	11,567,535	4,382,645
Other	20,646,471	6,883,851
Total investments	<u>2,819,109,031</u>	<u>2,475,747,086</u>
Receivables:		
Contribution receivable from employer	-	44,573,901
Sale of securities	5,308,058	5,951,017
Accrued interest and dividends	9,700,016	6,669,559
Total receivables	<u>15,008,074</u>	<u>57,194,477</u>
Collateral held under securities lending agreement	<u>1,200,000</u>	<u>1,199,999</u>
Total assets	<u>2,848,945,556</u>	<u>2,547,293,908</u>
LIABILITIES:		
Liability to return collateral held under securities lending agreement	1,200,000	1,199,999
Purchase of securities	3,632,426	6,375,280
Accrued administrative expenses	2,233,246	3,808,212
Other	18,142	15,107
Total liabilities	<u>7,083,814</u>	<u>11,398,598</u>
NET ASSETS AVAILABLE FOR BENEFITS	<u>\$ 2,841,861,742</u>	<u>\$ 2,535,895,310</u>

See notes to financial statements.

ROCKWELL COLLINS PENSION PLAN

STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS FOR THE YEARS ENDED DECEMBER 31, 2013 AND 2012

	<u>2013</u>	<u>2012</u>
Additions:		
Investment income:		
Interest and dividends	\$ 54,237,834	\$ 53,632,448
Net appreciation in fair value of investments	365,966,661	269,027,403
Other income	546,583	573,623
Total investment income	<u>420,751,078</u>	<u>323,233,474</u>
Contributions	<u>65,426,099</u>	<u>165,173,901</u>
Total additions	<u>486,177,177</u>	<u>488,407,375</u>
Deductions:		
Benefit payments	162,905,234	155,017,058
Administrative and investment expenses	<u>17,305,511</u>	<u>16,376,766</u>
Total deductions	<u>180,210,745</u>	<u>171,393,824</u>
NET INCREASE	305,966,432	317,013,551
NET ASSETS AVAILABLE FOR BENEFITS, BEGINNING OF YEAR	<u>2,535,895,310</u>	<u>2,218,881,759</u>
NET ASSETS AVAILABLE FOR BENEFITS, END OF YEAR	<u>\$ 2,841,861,742</u>	<u>\$ 2,535,895,310</u>

See notes to financial statements.

ROCKWELL COLLINS PENSION PLAN

NOTES TO FINANCIAL STATEMENTS

AS OF AND FOR THE YEARS ENDED DECEMBER 31, 2013 AND 2012

1. DESCRIPTION OF PLAN

This brief description of the Rockwell Collins Pension Plan (the “Plan”) is provided for general information purposes only. Participants should refer to the Plan document for more complete information. The Plan’s sponsor is Rockwell Collins, Inc. (the “Company”).

General – The Plan is a defined benefit plan sponsored by the Company. The Rockwell Collins Employee Benefit Plan Committee and the Plan Administrator control and manage the Plan. The Bank of New York Mellon (the “Trustee”) serves as the trustee of the Plan. The Trustee, along with several investment managers, manages the Plan’s investment assets. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”), and the Pension Protection Act of 2006 (“PPA”).

Pension Benefits – The Plan consists of various “subsidiary parts” which represent individual benefit plans which have merged into the Plan over time. Generally, participants become fully vested after five years of service with no partial vesting. The Plan provides for normal retirement benefits upon reaching age 65, with certain subsidiary parts providing these benefits at age 62. The Plan also has provisions for early retirement, disability, and death benefits and provides benefits upon meeting certain other preconditions. Joint and survivor annuities or single life annuities provide the typical form of benefit payments, in addition to other optional forms. The amount of a participant’s benefit depends on the specific provisions of the Plan document for the subsidiary part where the participant earned the benefit. Pension benefits are generally calculated using benefit formulas that primarily consider the participant’s years of credited service, annual earnings, final pay, and other factors noted in the Plan documents for each subsidiary part.

The Plan has multiple subsidiary parts using various benefit formulas. Participants are directed to the applicable Summary Plan Description for details that pertain to their pension benefits. The benefit formulas for the three largest subsidiary parts are listed below. The majority of the other subsidiary parts have similar benefit formulas based upon years of credited service, as defined by the subsidiary parts, multiplied by a benefit unit.

The normal retirement benefit for the Certain Salaried Plan and the Electronics Salaried Plan as defined in the Plan document is the greater of (1) the Career Earnings Formula, (2) the Alternate Benefit Formula, or (3) the Minimum Benefit Formula. Under each benefit computation, the retirement benefit is a percentage of earnings or average annual earnings multiplied or adjusted by years of credited service.

The normal retirement benefit for the Collins Production Plan is based on a two-part formula. Benefits accrued through April 30, 1992 are based on a final pay formula using earnings and credited service through that date. Benefits accrued after April 30, 1992 are based on a benefit unit and credited service after that date and vary by labor grade and union.

The Company amended the Plan in June 2003 to discontinue benefit accruals for services rendered after September 30, 2006 for all new and existing salaried and hourly employees not covered by collective bargaining agreements. When this action was taken, the Company increased its contributions to its defined contribution savings plan.

In May 2008, a contract agreement between the Company and three bargaining unit unions covering active and retired employees in Cedar Rapids, Iowa, Coralville, Iowa, and Richardson, Texas was ratified. The contract covers a five year period from May 3, 2008 through May 3, 2013. In May 2013, a new 5 year agreement was negotiated between the Company and the three bargaining unit unions. No changes were made to the pension in the new contract.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting – The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America.

Use of Estimates – The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan's management to make estimates and assumptions that affect the reported amounts of assets, liabilities, and changes therein, disclosure of contingent assets and liabilities and the actuarial present value of accumulated plan benefits and changes therein at the date of the financial statements. Actual results could differ from those estimates.

Risks and Uncertainties – The Plan utilizes various investment instruments including U.S. Government securities, corporate debt instruments, and corporate stocks. Investment securities, in general, are exposed to various risks, such as interest rate, credit, and overall market volatility. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur and that such changes could materially affect the amounts reported in the financial statements.

Investment Valuation and Income Recognition – Investments of the Plan are presented at fair value. If available, investments are valued at quoted market prices on the measurement date. Common stock is valued at the closing price reported on the active market on which the individual securities are traded. If prices of fixed income securities are not readily available or do not accurately reflect fair value, then fixed income securities are valued based on a matrix pricing model in which all significant inputs are observable or can be derived from or corroborated by observable market data such as interest rates, yield curves, volatilities, credit risk and prepayment speeds. In instances where quoted market prices are not available, securities are stated at fair value as determined by independent investment brokerage firms. Common collective trust funds are stated at fair value as determined by the issuer of the common collective trust funds based on the net asset value of the underlying investments, which are generally readily marketable. Interest-bearing cash is cash denominated in foreign currencies and measured in U.S. dollars.

Purchases and sales of securities are recorded on a trade date basis. Interest income is recorded as earned. Dividends are recorded on the ex-dividend date. Net appreciation includes the plan's gains and losses on investments bought and sold as well as held during the year.

Repurchase agreements are recorded as collateralized financing transactions. The Plan receives collateral with a market value equal to or in excess of the principal amount loaned under the resale agreements. On a daily basis, the Plan manages its risk by calculating the market value of each position and comparing it to the contract amounts, with any difference to be settled by the counterparty. Repurchase agreements are presented gross in the Plan's Statements of Net Assets Available for Benefits. As of December 31, 2013 and 2012, amounts related to the repurchase agreement were \$14,805,787 and \$467,048 respectively.

Administrative Expenses – Expenses incurred in the administration of the Plan are paid by the Plan, except to the extent that the Company elects to pay the expenses at its discretion.

Payment of Benefits – Benefit payments to participants are recorded upon distribution.

Subsequent Events – The Plan has assessed subsequent events through July 24, 2014. This date represents the date that the financial statements were available to be issued.

On July 21, 2014 an amendment to the Plan was signed. This amendment provides certain eligible participants the opportunity to make a one-time election for immediate payment of certain vested benefits.

3. FUNDING POLICY

Contributions to provide benefits under the Plan are made solely by the Company. The Company's policy is to fund the Plan as required by governmental agencies and to consider discretionary contributions as conditions warrant. The Company made the following contributions for the Plan years ended December 31, 2012 and 2013:

Statement Plan Year	ERISA Plan Year	Date of Contribution	Amount
2012	2012	January 17, 2012	\$ 63,000,000
2012	2012	July 13, 2012	2,600,000
2012	2012	October 4, 2012	55,000,000
2012	2012	January 16, 2013	44,573,901
			<u>\$ 165,173,901</u>
2013	2013	January 16, 2013	\$ 10,426,099
2013	2013	October 10, 2013	55,000,000
			<u>\$ 65,426,099</u>

The Company met the PPA and ERISA minimum funding requirements for both 2012 and 2013.

4. ACCUMULATED PLAN BENEFITS

Accumulated plan benefits are those future benefit payments attributable under the Plan's provisions to service that employees have rendered and shall be paid (1) to retirees or terminated vested employees who retire, (2) to the beneficiaries of such retirees or terminated employees, and (3) covered present employees or their beneficiaries. The actuarial present value of accumulated plan benefits have been determined by the Plan's independent actuary, and is that amount which results from applying actuarial assumptions to adjust the accumulated plan benefits to reflect the time value of money (through discounts for interest) and the probability of payment (by means of decrements for death, disability, withdrawal, or retirement) between the benefit information date and the expected payment dates. The effect of Plan amendments on accumulated plan benefits is recognized during the year in which such amendments are adopted.

The actuarial present value of accumulated plan benefits as of January 1, 2013 and 2012 is as follows:

	January 1, 2013	January 1, 2012
Vested benefits:		
Participants and/or beneficiaries currently receiving benefit payments	\$ 1,539,132,000	\$ 1,478,087,000
Other participants	<u>1,002,170,000</u>	<u>1,005,739,000</u>
Total vested benefits	2,541,302,000	2,483,826,000
Nonvested benefits	<u>33,600,000</u>	<u>41,710,000</u>
Total actuarial present value of accumulated plan benefits	<u>\$ 2,574,902,000</u>	<u>\$ 2,525,536,000</u>

The change in the actuarial present value of the Plan's accumulated plan benefits for the year ended January 1, 2013 is as follows:

Actuarial present value of accumulated plan benefits, beginning of year, January 1, 2012	\$ 2,525,536,000
Increase (decrease) during the year attributable to:	
Benefit payments	(155,017,000)
Benefits accumulated - net	3,313,000
Actuarial losses	9,165,000
Interest	171,594,000
Assumption changes	<u>20,311,000</u>
Net increase	<u>49,366,000</u>
Actuarial present value of accumulated plan benefits, end of year, January 1, 2013	<u>\$ 2,574,902,000</u>

The significant actuarial assumptions used in determining accumulated plan benefits as of January 1, 2013 and 2012 are as follows:

Discount Rate:	7.0% compounded annually
Mortality:	Generally, the 2010 IRS Annuitant Tables (sex distinct); set forward and projected 8 years with scale AA
Retirement:	Average retirement age – 63

The foregoing actuarial assumptions are based on the presumption that the Plan will continue. If the Plan were to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated plan benefits. Due to uncertainties inherent in the estimations and assumptions process, it is at least reasonably possible that certain changes in these estimates and assumptions could be material to the financial statements.

Certain proposed amendments and administrative corrections made by the Company that were identified in the Plan's Voluntary Correction Program ("VCP") application to the IRS, as described in Note 6 below, are reflected in an estimate by the Plan's independent actuary of the increase in the actuarial present value of the accumulated plan benefits in the amount of \$14 million. Generally, these amendments document long-standing administrative practices that had not been properly reflected in the Plan document. Subsequent to the January 1, 2013 valuation, the Plan received

notification from the IRS that the practices adopted by the Plan were applied properly. The related increase in the present value of accumulated plan benefits will be removed as of January 1, 2014 as the IRS approved the Company's correction plan.

5. DERIVATIVE FINANCIAL INSTRUMENTS

Derivative financial instruments are used by portfolio investment managers primarily to hedge the currency risk when transactions are settled in currencies where a liquidity issue may change the value of the settlement. Only the investment managers dedicated to the international investments are permitted to use foreign currency exchange contracts to hedge these exposures. Leveraging of the Plan's assets and speculation are prohibited. The Plan also uses futures contracts to manage market risk associated with the Plan's fixed income investments.

Foreign Currency Forward Contracts – The Plan enters into forward contracts to purchase and sell foreign currencies in the normal course of its investing activities to manage the currency exposures as outlined above with the Plan's foreign equity and fixed income investments. The terms of these contracts generally do not exceed one year. The credit risk associated with these contracts is minimal as they are entered into with a limited number of highly rated counterparties.

The Plan reflects the fair value of all forward contracts as an asset or liability in the Plan's financial statements. The fair values associated with the foreign currency contracts have been estimated by valuing the net position of the contracts using the applicable spot rates and forward rates as of the reporting date. In the Statements of Net Assets Available for Benefits, forward contracts to purchase foreign currency are included within purchases of securities and forward contracts to sell foreign currency are included within sale of securities. Changes in fair value are included in net appreciation (depreciation) in fair value of investments.

U.S. Treasury Futures Contracts – The Plan utilizes U.S. Treasury futures contracts to extend the duration of certain fixed income investments in order to match the profile of the Plan's accumulated plan benefit liability. The terms of these contracts may extend for either 5, 10, or 30 years. The contracts are traded on the Chicago Board of Trade. The credit risk associated with these contracts is minimal as they are entered into with a highly rated counterparty.

Upon entering into a futures contract, the Plan is required to deposit either in cash or securities an amount equal to a certain percentage of the nominal value of the contract. Subsequent payments are then made or received by the Plan, depending on the daily fluctuation in the value of the underlying contracts. U.S. Treasury Bonds and Notes owned and included in the investments of the Plan as of December 31, 2013 and 2012 was \$261,250 and \$337,240 respectively. These investments were held by the Plan's brokers as performance security on futures contracts.

The futures contracts are classified in the Statements of Net Assets Available for Benefits as other investments. Notional amounts of outstanding future contracts were \$52,000 for contracts purchased and \$150,000 for contracts sold as of December 31, 2013. Notional amounts of outstanding future contracts were \$89,000 for contracts purchased and \$58,000 for contracts sold as of December 31, 2012. The number of futures contracts was 98 and 31 as of December 31, 2013 and 2012, respectively.

Fair Value of Derivative Instruments – Fair values of derivative instruments in Statements of Net Assets Available for Benefits as of December 31, 2013 and 2012 are as follows:

		December 31, 2013		December 31, 2012	
	Classification	Asset Derivatives	Liability Derivatives	Asset Derivatives	Liability Derivatives
Foreign currency forward contracts	Sale of securities	\$ 861,544	\$ -	\$ 4,432,499	\$ -
Foreign currency forward contracts	Purchases of securities	-	(862,565)	-	(4,576,246)
U.S. Treasury futures contracts	Other investments	-	204,914	-	(186,976)
Total		<u>\$ 861,544</u>	<u>\$ (657,651)</u>	<u>\$ 4,432,499</u>	<u>\$ (4,763,222)</u>

The effect of derivative instruments on the Statements of Changes in Net Assets Available for Benefits for the years ended December 31, 2013 and 2012 is as follows:

		December 31, 2013	December 31, 2012
	Location of Gain		
Foreign currency forward contracts	Net appreciation (depreciation) in fair value of investments	\$ (305,297)	\$ 89,960
U.S. Treasury futures contracts	Net appreciation (depreciation) in fair value of investments	(342,224)	43,163
Total		<u>\$ (647,521)</u>	<u>\$ 133,123</u>

6. FEDERAL INCOME TAX STATUS

The Internal Revenue Service (“IRS”) has determined and informed the Company by a letter dated September 25, 2002 that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (“IRC”). The Company believes that the Plan is currently designed and being operated in compliance with the applicable requirements of the IRC, except for noncompliance with certain administrative requirements that were discovered by the Company. In January 2011, the Company filed an application (the “Application”) for a compliance statement from the IRS under the voluntary correction program. The compliance statement was sought with respect to this noncompliance with certain administrative requirements. At that time of the Application, the Company amended and restated the Plan and submitted the Plan to the IRS for a new determination letter. The Company subsequently amended the Application to include an additional administrative matter. In December 2013, the Company received an approved compliance statement, subject to certain corrections, which have been made. The Company believes, that by taking these corrective actions, the Plan’s trust will continue to be tax-exempt. As a result, no provision for income taxes has been included in the Plan’s financial statements.

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 IRS. The Company 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 it is no longer subject to income tax examinations for years prior to 2010.

7. INVESTMENTS REPRESENTING 5% OR MORE OF NET ASSETS

The Plan's investments representing 5% or more of net assets as of December 31, 2012 and 2013 are as follows

Description of Investment	
December 31, 2012	
SSGA 20+ Year US High Quality Bond	\$ 204,975,231
Vanguard International Growth	190,725,191
EB DV LGE CAP GRWTH SIF	126,896,483
December 31, 2013	
Vanguard International Growth	\$ 235,310,583
SSGA 20+ Year US High Quality Bond	199,661,377
EB DV LGE CAP GRWTH SIF	169,378,709

8. NET APPRECIATION (DEPRECIATION) IN FAIR VALUE OF INVESTMENTS

During 2013 and 2012, the Plan's investments (including gains and losses on investments bought and sold) generated net appreciation (depreciation) in the fair value of investments as follows:

	<u>2013</u>	<u>2012</u>
Net appreciation (depreciation) of investments at fair value as determined by quoted market price:		
Equity investments	\$ 384,578,894	\$ 175,174,899
Fixed income investments	(17,632,159)	4,439,355
	<u>366,946,735</u>	<u>179,614,254</u>
Net appreciation (depreciation) of investments at estimated fair value:		
Equity investments	66,739,739	23,314,505
Fixed income investments	(66,531,056)	65,666,592
Interest-bearing cash	(796)	3,110
Other investments	(1,187,961)	428,942
	<u>(980,074)</u>	<u>89,413,149</u>
Net appreciation in fair value of investments	<u>\$ 365,966,661</u>	<u>\$ 269,027,403</u>

9. INFORMATION CERTIFIED BY THE TRUSTEE

The Company has elected to provide a limited scope audit as permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, the following is a summary of the unaudited information regarding the Plan as of and for the years ended December 31, 2013 and 2012, included in the Plan's financial statements and supplemental schedules, that was prepared by or derived from information prepared by the Trustee of the Plan and furnished to the Plan Administrator. The Plan Administrator has obtained certifications from the Trustee that such information is complete and accurate.

	<u>2013</u>	<u>2012</u>
Statements of Net Assets Available for Benefits:		
Investments:		
Equity investments	\$ 1,703,956,914	\$ 1,550,070,347
Fixed income investments	1,081,767,411	913,251,682
Securities held under lending agreement	1,170,700	1,158,561
Interest-bearing cash	11,567,535	4,382,645
Other	20,646,471	6,883,851
Total investments	<u>\$ 2,819,109,031</u>	<u>\$ 2,475,747,086</u>
Receivables:		
Sale of securities	\$ 5,308,058	\$ 5,951,017
Accrued interest and dividends	9,700,016	6,669,559
Total receivables	<u>\$ 15,008,074</u>	<u>\$ 12,620,576</u>
Collateral held under securities lending agreement	<u>\$ 1,200,000</u>	<u>\$ 1,199,999</u>
Liabilities - Purchase of securities	<u>\$ 3,632,426</u>	<u>\$ 6,375,280</u>

Statements of Changes in Net Assets Available for Benefits:

Investment income:		
Interest and dividends	\$ 54,237,834	\$ 53,632,448
Net appreciation in fair value of investments	365,966,661	269,027,403
Other income	546,583	573,623
Total investment income	<u>\$ 420,751,078</u>	<u>\$ 323,233,474</u>

All information included in the Supplemental Schedules on Form 5500, Schedule H, Part IV, Line 4i, and investment amounts in Note 10 were certified and unaudited.

10. FAIR VALUE MEASUREMENTS

The FASB standard related to fair value measurements defines fair value, establishes a framework for measuring fair value and expands the related disclosure requirements. The standard indicates, among other things, that a fair value measurement assumes that the transaction to sell an asset or transfer a liability occurs in the principal market for the asset or liability or, in the absence of a principal market, the most advantageous market for the asset or liability. The standard established a valuation hierarchy for disclosure of the inputs to valuation techniques used to measure fair value. This hierarchy prioritizes the inputs into three broad levels as follows:

Level 1 - quoted prices (unadjusted) in active markets for identical assets or liabilities

Level 2 - quoted prices for similar assets and liabilities in active markets or inputs that are observable for the asset or liability, either directly or indirectly through market corroboration, for substantially the full term of the financial instrument

Level 3 - unobservable inputs based on the Plan's own assumptions used to measure assets and liabilities at fair value

A financial asset or liability's classification within the hierarchy is determined based on the lowest level input that is significant to the fair value measurement. The fair value of the Plan's financial assets as of December 31, 2013 and 2012 was as follows:

Fair Value Measurements at December 31, 2013, using				
	Quoted prices in active markets (Level 1)	Significant other observable inputs (Level 2)	Significant unobservable inputs (Level 3)	Total
Interest-bearing cash	\$ -	\$ 11,567,535	\$ -	\$ 11,567,535
U.S. government securities	80,746,821	43,943,885	-	124,690,706
Corporate debt	-	583,899,240	52,469	583,951,709
Preferred stock	313,660	-	-	313,660
Common stock:				
Financial Services	141,196,896	-	-	141,196,896
Oil & Gas	89,928,967	-	-	89,928,967
Pharmaceuticals	79,946,458	-	-	79,946,458
Retail	59,194,679	-	-	59,194,679
Insurance	55,202,414	-	-	55,202,414
Software	51,026,767	-	-	51,026,767
Health Care	40,671,532	-	-	40,671,532
Computers	36,994,891	-	-	36,994,891
Chemicals	36,258,204	-	-	36,258,204
Semiconductors	31,766,826	-	-	31,766,826
Transportation	30,946,802	-	-	30,946,802
Telecommunications	28,053,182	-	-	28,053,182
Electric	26,571,299	-	-	26,571,299
Internet	26,315,863	-	-	26,315,863
Biotechnology	25,857,846	-	-	25,857,846
Commercial Services	22,752,889	-	-	22,752,889
Food Processing	22,126,301	-	-	22,126,301
Beverages	17,849,295	-	-	17,849,295
Aerospace and Defense	15,865,553	-	-	15,865,553
Other	311,463,840	-	-	311,463,840
Partnership	-	410,725	45,457	456,182
Common collective trusts:				
Fixed income	-	367,167,469	-	367,167,469
Equity	-	270,254,048	-	270,254,048
Registered investment companies:				-
Fixed income	5,968,255	-	-	5,968,255
Equity	284,102,492	-	-	284,102,492
Other	-	20,646,471	-	20,646,471
Total investments at fair value	\$ 1,521,121,732	\$ 1,297,889,373	\$ 97,926	\$ 2,819,109,031

Fair Value Measurements at December 31, 2012, using				
	Quoted prices in active markets (Level 1)	Significant other observable inputs (Level 2)	Significant unobservable inputs (Level 3)	Total
Interest-bearing cash	\$ -	\$ 4,382,645	\$ -	\$ 4,382,645
U.S. government securities	140,657,018	48,269,361	-	188,926,379
Corporate debt	-	317,618,005	146,976	317,764,981
Preferred stock	2,766,687	-	-	2,766,687
Common stock:				
Financial Services	117,331,307	-	-	117,331,307
Oil & Gas	92,164,716	-	-	92,164,716
Pharmaceuticals	84,721,054	-	-	84,721,054
Retail	59,456,725	-	-	59,456,725
Insurance	49,544,977	-	-	49,544,977
Software	47,054,928	-	-	47,054,928
Health Care	40,553,516	-	-	40,553,516
Computers	39,820,504	-	-	39,820,504
Chemicals	38,753,018	-	-	38,753,018
Semiconductors	30,069,776	-	-	30,069,776
Transportation	29,613,102	-	-	29,613,102
Telecommunications	29,390,079	-	-	29,390,079
Electric	29,260,990	-	-	29,260,990
Internet	25,554,441	-	-	25,554,441
Biotechnology	25,177,584	-	-	25,177,584
Commercial Services	23,301,052	-	-	23,301,052
Food Processing	21,305,607	-	-	21,305,607
Beverages	20,871,930	-	-	20,871,930
Aerospace and Defense	20,018,961	-	-	20,018,961
Other	305,208,542	-	-	305,208,542
Partnership	-	-	83,164	83,164
Common collective trusts:				
Fixed income	-	404,233,542	-	404,233,542
Equity	-	185,663,517	-	185,663,517
Registered investment companies -				
Fixed income	2,564,867	-	-	2,564,867
Equity	233,304,644	-	-	233,304,644
Other	-	6,883,851	-	6,883,851
Total investments at fair value	<u>\$ 1,508,466,025</u>	<u>\$ 967,050,921</u>	<u>\$ 230,140</u>	<u>\$ 2,475,747,086</u>

The fair value of investments classified within Level 3 and changes therein at December 31, 2013 and 2012 was less than 1% of the aggregate fair value. Accordingly, a tabular reconciliation and disclosure of the key assumptions used to value the investments classified within Level 3 has not been presented.

Changes in economic conditions or model-based valuation techniques may require the transfer of financial instruments from one fair value level to another. In such instances, the transfer is reported at the beginning of the reporting period. We evaluate the significance of transfers between levels based upon the nature of the financial instrument and size of the transfer relative to total net assets available for benefits. There were no investments held by the Plan that were transferred between levels during the years ended December 31, 2013 and 2012, respectively.

11. SECURITIES HELD UNDER LENDING AGREEMENT

The Plan participates in a securities lending program through its Trustee. Under this program, the Plan's investment securities may be loaned to investment brokers for a fee. Securities so loaned are fully collateralized by cash, letters of credit, and securities issued or guaranteed by the U.S. government, its agencies, and instrumentalities. At December 31, 2013 and 2012, \$1,170,700 and \$1,158,561, respectively, of the Plan's securities were on loan under the Trustee's securities lending program. The fair value of the collateral received as a percentage of the total current value of the securities on loan by the Plan was approximately 103% and 104% at December 31, 2013 and 2012, respectively, and income from the program was \$33,367 and \$46,220 for the years ended December 31, 2013 and 2012, respectively.

12. RELATED-PARTY TRANSACTIONS

Certain Plan investments are managed by the Trustee and these transactions qualify as exempt party-in-interest transactions.

Transactions with the following parties qualify as exempt party-in-interest transactions:

- BNY Mellon Asset Servicing
- Standish Mellon Asset Management LLC
- BNY Mellon Cash Investment Strategies

Fees paid by the Plan for investment management services provided by the Trustees, totaled \$799,278 and \$564,354 for the years ended December 31, 2013 and 2012, respectively.

During 2012, it was discovered that the Plan's trust had been inadvertently overcharged for various administrative expenses. This is a non-exempt party in interest transaction that is prohibited by ERISA and the IRC. As a result, in September 2012, the Company made an additional payment to the Plan's trust in order to correct these overcharges. The Company filed a Form 5330 with the IRS to pay required excise taxes, penalties, and interest related to the prohibited transactions.

13. PLAN TERMINATION

Although it has not expressed any intention to do so, the Company has the right under the Plan, in certain circumstances, to discontinue its contributions at any time and to terminate the Plan subject to the provisions set forth in ERISA. In the event that the Plan is terminated, the net assets of the Plan will be allocated for payment of Plan benefits to the participants in an order of priority determined in accordance with ERISA, applicable regulations thereunder and the Plan document.

Certain benefits under the Plan are insured by the Pension Benefit Guaranty Corporation ("PBGC") if the Plan terminates. The PBGC guarantees most vested normal age retirement benefits, early retirement benefits, and certain disability and survivor's pensions. However, the PBGC does not guarantee all types of benefits under the Plan, and the amount of benefit protection is subject to certain limitations. Vested benefits under the Plan are guaranteed at the level in effect on the date of the Plan's termination, subject to a statutory ceiling based on an individual's monthly benefit.

Whether all participants receive their benefits should the Plan be terminated at some future time will depend on the sufficiency, at that time, of the Plan's net assets to provide those benefits, the priority of those benefits to be paid and the level and type of benefits guaranteed by the PBGC at that time. Some benefits may be fully or partially provided for by the then existing assets and the PBGC guaranty while other benefits may not be provided for at all.

14. NET ASSET VALUE PER SHARE

The Plan holds investments in collective trust funds (the “Funds”) whose fair value is estimated using a Net Asset Value (“NAV”) per share.

A summary of the Plan’s investments with a reported NAV for the years ended December 31, 2013 and 2012, is as follows:

Investment	Fair Value Estimated Using Net Asset Value per Share December 31, 2013			
	Fair Value *	Unfunded Commitment	Redemption Frequency	Redemption Notice Period
SSGA 20+YEAR US HIGH QUALITY BOND (a)	\$ 199,661,377	\$ -	Daily	1 day
EB DV LGE CAP GRWTH SIF (b)	169,378,709	-	Daily	1 day
EB DV STOCK INDEX FUND (e)	100,875,339	-	Daily	1 day
SSGA 5-20YEAR US HIGH QUALITY (f)	72,499,186	-	Daily	1 day
UBS EMERGING MARKETS DEBT (c)	48,418,710	-	Daily	1 day
SSGA LONG US TREASURY INDEX NL (d)	30,199,996	-	Daily	1 day
JPMCB EXTENDED DURATION FUND (g)	<u>16,388,200</u>	<u>-</u>	Daily	1 day
Total	<u>\$ 637,421,517</u>	<u>\$ -</u>		

Investment	Fair Value Estimated Using Net Asset Value per Share December 31, 2012			
	Fair Value *	Unfunded Commitment	Redemption Frequency	Redemption Notice Period
SSGA 20+YEAR US HIGH QUALITY BOND (a)	\$ 204,975,231	\$ -	Daily	1 day
EB DV LGE CAP GRWTH SIF (b)	126,896,483	-	Daily	1 day
UBS EMERGING MARKETS DEBT (c)	75,543,335	-	Daily	1 day
SSGA LONG US TREASURY INDEX NL (d)	60,321,665	-	Daily	1 day
EB DV STOCK INDEX FUND (e)	58,767,034	-	Daily	1 day
SSGA 5-20YEAR US HIGH QUALITY (f)	36,404,067	-	Daily	1 day
JPMCB EXTENDED DURATION FUND (g)	<u>26,989,244</u>	<u>-</u>	Daily	1 day
Total	<u>\$ 589,897,059</u>	<u>\$ -</u>		

* The fair values of the investments have been estimated using the net asset value of the investment.

(a) The investment objective of the SSGA 20+ Year US High Quality Corp Bond is to provide a total investment return in excess of the performance of the Barclays Capital U.S. Corporate A or Better, 20+ Year, Bullets Only Index (the "Index") over the long term.

(b) The investment objective of the Employee Benefit ("EB") DV Large Cap Growth Stock Index Fund is to track the performance of the Russell 1000 Growth® Index. Manager may invest the assets of the Fund in securities and instruments, the EB DV Large Cap Growth Stock Index Fund, and a combination of other collective funds, including but not limited to the EB Temporary Investment Fund of The Bank of New York Mellon Employee Benefit Collective Investment Fund Plan in meeting the objective.

(c) The investment objective of the UBS Emerging Markets Debt Collective Fund (the “Fund”) is to seek to maximize total return, consisting of capital appreciation and current income, while controlling risk. The Fund has a blended benchmark which consists of 50% JP Morgan Emerging Markets Bond Index - Global Index (“EMBI-Global”) and 50% JP Morgan Government Bond Index-Emerging Markets Global Diversified (“GBI-EM Global Diversified”).

(d) The investment objective for this fund is to seek an investment return that approximates as closely as practicable, before expenses, the performance of its benchmark index, the Barclay’s Capital US Long Treasury Index, over the long term.

(e) The investment objective of the EB DV Stock Index Fund is to track the performance of the S&P 500® Index. Manager may invest the assets of the Fund in securities and instruments, the EB DV Stock Index Fund, and the EB Temporary Investment Fund of The Bank of New York Mellon Employee Benefit Collective Investment Fund Plan in meeting the objective.

(f) The investment objective of the SSGA 5-20 Year US High Quality Corp Bond is to provide a total investment return in excess of the performance of the Barclays Capital U.S. Corporate A or Better, 5-20 Year, Bullets Only Index (the "Index") over the long term.

(g) The objective of the Fund is to outperform (based on the Fund’s total return, gross of fees) the Barclays Capital Long Government/Credit Index (the “Benchmark”) while maintaining total return risk similar to that of the Benchmark over a market cycle.

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ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
EQUITY INVESTMENTS				
PREFERRED STOCK				
GMAC CAPITAL TRUST I	11,730	\$ 312,605	\$ 313,660	
TOTAL PREFERRED STOCKS		<u>312,605</u>	<u>313,660</u>	
COMMON STOCK				
AAREAL BANK AG EUR26	8,670	319,710	343,889	
ABB LTD CHF1.03 (REGD)	96,829	2,446,640	2,556,412	
ABBOTT LABORATORIES	116,550	4,946,521	4,467,362	
ABBVIE INC	83,060	1,634,963	4,386,399	
ABENGOA SA EUR0.01 CLASS B	374,370	962,689	1,122,518	
ACADIA HEALTHCARE CO INC	48,050	1,410,593	2,274,207	
ACE LIMITED SHS	15,500	1,533,563	1,604,715	
ACELRX PHARMACEUTICALS	46,370	520,725	524,445	
ACTIVISION BLIZZARD INC	15,500	164,949	276,365	
ADOBE SYSTEMS INC	100,300	3,779,304	6,005,864	
AECOM TECHNOLOGY CORP	5,300	126,140	155,979	
AFFYMETRIX INC	55,800	176,886	478,206	
AFREN ORD GBP0	457,650	975,266	1,282,507	
AIDA ENGINEERING Y50	34,100	316,605	369,534	
AIR PRODUCTS & CHEMICALS INC	8,295	696,946	927,215	
AIR.WATER INC JPY50	55,000	722,685	745,160	
AKORN INC	69,670	930,791	1,715,275	
AKZO NOBEL NV EUR2	84,635	5,564,344	6,570,528	
ALCATEL LUCENT EUR2 SER'A'	376,390	996,316	1,689,751	
ALENT PLC ORD GBP0.10	94,430	494,919	555,219	
ALGONQUIN POWER & UTIL CORP	135,862	933,309	938,567	
ALGONQUIN PWR & UTIL CO	30,100	206,773	192,763	
ALIGN TECHNOLOGY INC	11,890	329,948	679,395	
ALLSTATE CORP/THE	62,900	2,648,241	3,430,566	
ALTEN NPV	18,920	652,289	860,337	
ALTERA CORP	19,000	653,410	617,709	
ALTRAN TECHNOLOGIES SA EUR0.5	227,720	1,702,915	2,000,077	
ALTRIA GROUP INC	120,940	3,802,354	4,642,887	
AMERICAN AXLE & MANUFACTURING	50,620	942,148	1,035,179	
AMERICAN CAPITAL LTD	63,085	758,345	986,649	
AMERICAN EXPRESS CO	31,675	1,820,679	2,873,873	
AMERICAN FINANCIAL GROUP INC/O	31,929	1,273,139	1,842,942	
AMERICAN INTERNATIONAL GROUP I	122,800	4,500,714	6,268,940	
AMERISAFE INC	39,870	1,086,458	1,684,109	
AMGEN INC	76,300	6,577,060	8,704,304	
AMTRUST FINANCIAL SERVICES INC	25,778	966,230	842,683	838,760
ANDERSONS INC/THE	25,565	1,096,739	2,279,631	
ANN INC	29,555	998,798	1,080,531	
ANNIE'S INC	33,150	1,357,253	1,426,776	
ANRITSU CORP	30,100	362,699	331,342	
AO SMITH CORP	23,080	857,485	1,244,935	
APPLE INC	20,600	10,962,764	11,557,012	
APPLIED MATERIALS INC	38,500	440,440	680,680	
ARCH CAPITAL GROUP LTD SHS	35,698	1,579,198	2,130,814	
ARRIS GROUP INC	71,882	1,133,829	1,749,608	

ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
ARROW ELECTRONICS INC	24,700	937,970	1,339,975	
ASBURY AUTOMOTIVE GROUP INC	24,023	769,457	1,290,996	
ASHTED GROUP PLC	146,323	1,013,946	1,841,841	
ASKUL JPY50	40,300	763,928	1,182,869	
ASPEN TECHNOLOGY INC	29,500	834,959	1,233,100	
ASSURED GUARANTY LTD SHS	44,520	1,024,032	1,050,227	
ASTALDI SPA	117,900	786,523	1,243,634	
ASTRAZENECA PLC	28,700	1,415,577	1,703,919	
ATHLON ENERGY INC	13,140	344,080	397,485	
ATMEL CORP	135,745	911,714	1,062,883	
AUTOMATIC DATA PROCESSING INC	32,700	1,861,611	2,642,127	
AVISTA CORP	38,720	933,539	1,091,517	
AVIVA PLC GBP0.25	524,348	3,051,158	3,905,426	
AXA EUR2.29	84,597	1,488,961	2,355,889	
AZIMUT HLDG SPA ORD EUR0.22	69,950	1,236,937	1,911,366	
B/E AEROSPACE INC	14,484	721,100	1,260,543	
BABCOCK INTL GROUP ORD GBP0.60	33,200	521,048	745,081	
BALFOUR BEATTY ORD GBP0.50	383,350	1,705,522	1,821,595	
BANCA GENERALI EUR1	26,014	442,772	806,893	
BANCO BILBAO VIZCAYA	136,081	1,325,990	1,677,865	
BANCO ESPIRITO SANTO SA	506,160	590,545	724,664	
BANCORPSOUTH INC	55,361	804,736	1,407,277	
BANK OF AMERICA CORP	312,331	3,656,068	4,862,994	
BANK OF NEW YORK MELLON CORP/T	34,000	1,089,418	1,187,960	
BARCLAYS ORD GBP0.25	929,316	3,921,341	4,185,799	
BARNES GROUP INC	59,155	1,494,133	2,266,228	
BARRATT DEVELOPMENTS	296,640	1,038,056	1,714,672	
BARRETT BUSINESS SERVICES INC	650	56,872	60,281	
BAYER AG ORD NPV	21,935	2,078,994	3,081,473	
BB&T CORP	18,600	599,629	694,152	
BBCN BANCORP INC	154,955	1,958,049	2,570,703	
BCA POP EMILIA ROM EUR3	108,950	916,060	1,041,886	
BED BATH & BEYOND INC	11,700	654,147	939,510	
BERKSHIRE HATHAWAY INC	14,000	1,255,800	1,659,840	
BG GROUP PLC ORD GBP0.10	169,243	2,845,795	3,637,006	
BIOGEN IDEC INC	35,700	5,225,409	9,980,720	
BIOMARIN PHARMACEUTICAL INC	20,500	1,008,600	1,442,175	
BLACK DIAMOND GROUP LIMITED	20,200	453,237	570,353	
BLACKBERRY LTD	70,300	834,461	523,032	
BLACKROCK INC	8,295	1,714,659	2,625,119	
BLUCORA INC COM	122,000	1,916,620	3,557,520	
BNP PARIBAS EUR2	52,201	2,903,971	4,074,855	
BOEING CO/THE	20,700	1,558,572	2,825,343	
BOLSAS Y MERCADOS ESPANOL	23,150	603,239	882,341	
BONANZA CREEK ENERGY INC	32,630	1,219,254	1,418,426	
BOSTON SCIENTIFIC CORP	88,100	504,813	1,058,962	
BOVIS HOMES GROUP ORD 50P	47,076	440,002	618,299	
BRINKER INTERNATIONAL INC	51,495	1,595,830	2,386,278	
BRITISH AMERICAN TOBACCO ORD	85,783	4,354,183	4,600,489	
BROOKS AUTOMATION INC	75,440	607,292	791,366	
BROWN SHOE CO INC	26,390	673,897	742,615	
BRUNSWICK CORP/DE	29,995	876,587	1,381,570	

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ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
CABELA'S INC	24,320	1,015,360	1,621,171	
CALFRAC WELL SERVICES LTD	18,850	491,700	549,976	
CAL-MAINE FOODS INC	22,865	919,630	1,377,159	
CAMBREX CORP	17,910	327,450	319,335	
CAMERON INTERNATIONAL CORP	4,200	237,068	250,026	
CANADIAN PACIFIC RAILWAY LTD	24,945	3,089,903	3,774,677	
CAPITAL ONE FINANCIAL CORP	45,800	2,593,121	3,508,738	
CAPSTONE MINING CORP	257,500	671,182	727,059	
CARDIOVASCULAR SYSTEMS INC	27,354	642,523	937,969	
CARGOTEC ORD NPV ORD B	13,150	491,130	490,872	
CARMAX INC	58,800	2,207,352	2,764,776	
CARNIVAL CORP	77,600	2,814,276	3,117,192	
CARNIVAL PLC ORD USD1.66	56,640	1,919,479	2,346,188	
CATERPILLAR INC	40,450	3,624,684	3,673,265	
CATLIN GROUP COM STK USD0.01	36,100	295,457	347,085	
CAVIUM INC	11,290	398,114	389,618	
CBL & ASSOCIATES PROPERTIES IN	95,590	2,044,276	1,716,796	
CCL INDUSTRIES INC	17,850	843,370	1,330,896	
CDW CORP/DE	53,344	1,146,029	1,246,116	
CELESTICA INC	82,620	673,353	859,248	
CENTURY TOKYO LEASING CORP	32,400	995,605	1,069,673	
CH ROBINSON WORLDWIDE INC	18,100	1,132,092	1,056,135	
CHARLES RIVER LABORATORIES INT	18,860	766,847	1,000,334	
CHARLES SCHWAB CORP/THE	224,647	3,252,325	5,840,822	
CHART INDUSTRIES INC	13,763	1,170,085	1,316,293	
CHEMTURA CORP	51,452	1,115,362	1,436,540	
CHEVRON CORP	62,810	6,792,273	7,845,597	
CHUBB CORP	15,450	1,163,694	1,492,934	
CIENA CORP	29,565	461,440	707,490	
CISCO SYSTEMS INC	5,000	107,868	112,150	
CITIGROUP INC	94,416	3,883,680	4,920,018	
CME GROUP INC	1,500	91,608	117,690	
CNO FINANCIAL GROUP INC	260,575	2,466,798	4,609,572	
COCA-COLA CO/THE	207,700	7,585,558	8,580,087	
COGNEX CORP	115,640	2,254,643	4,415,135	
COMCAST CORP	41,380	1,707,965	2,150,312	
COMCAST CORP	27,800	1,001,722	1,386,664	
COMMERCIAL METALS CO	104,000	2,022,104	2,114,320	
CONN'S INC	6,470	382,526	509,124	
CONOCOPHILLIPS	48,570	2,816,574	3,431,471	
CORNING INC	256,900	3,248,377	4,577,958	
CORPORATE EXECUTIVE BOARD CO/T	48,810	2,385,897	3,779,358	
COSTAR GROUP INC	7,090	704,710	1,308,672	
COWEN GROUP INC	534,000	1,882,530	2,087,940	
CREDIT AGRICOLE SA EUR3	7,041	85,993	90,278	
CREE INC	33,100	1,124,738	2,069,412	
CSX CORP	5,800	114,434	166,866	
CUBESMART	57,358	835,706	914,287	
CUBIC CORP	21,650	1,038,550	1,140,089	
CUMMINS INC	23,200	2,580,434	3,270,504	
CVB FINANCIAL CORP	122,000	1,268,800	2,082,540	
CYBERAGENT INC	28,500	786,591	1,160,554	

ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
CYNOSURE INC	59,143	1,485,204	1,575,570	
DAICEL CORP	102,000	668,872	830,712	
DAIFUKU CO Y50	60,000	699,597	767,233	
DAIMLER AG ORD NPV	56,425	3,070,789	4,890,527	
DANIELI & C OFFICINE	42,601	719,559	953,908	
DATA COMMUNICATIONS SYS CO	37,900	593,993	664,931	
DAUM COMMUNICATIONS CORP	5,450	481,103	433,790	
DDR CORP	67,785	1,103,001	1,041,855	
DELTA AIR LINES INC	31,800	393,906	873,546	
DELTA LLOYD NV	25,000	406,562	621,455	
DELUXE CORP	32,175	1,042,892	1,679,213	
DEMANDWARE INC	19,570	987,479	1,254,828	
DESCARTES SYSTEMS GROUP INC/TH	7,100	66,030	95,069	
DEUTZ AG NPV	61,700	381,921	551,352	
DEVRY EDUCATION GROUP	56,000	1,993,554	1,988,000	
DEXCOM INC	60,234	919,546	2,132,886	
DIAGEO PLC	19,075	2,223,764	2,525,912	
DIAMONDBACK ENERGY INC	24,010	525,262	1,269,697	
DIAMONDROCK HOSPITALITY CO	104,081	936,729	1,202,136	
DIRECTV	30,702	1,540,012	2,120,280	
DOMINOS PIZZA GROUP PLC	53,960	436,279	458,475	
DOUGLAS EMMETT INC	52,490	1,223,017	1,222,492	
DOW CHEMICAL CO/THE	12,000	387,948	532,800	
DR HORTON INC	64,956	1,298,354	1,449,818	
DSW INC	44,420	1,529,245	1,898,067	
DUERR BETEILIGUNGS AG DEM5	19,500	1,156,059	1,741,446	
DXP ENTERPRISES INC	17,740	954,229	2,043,648	
DYCOM INDUSTRIES INC	34,610	688,145	961,812	
EAST WEST BANCORP INC	80,325	1,726,184	2,808,965	
EDISON INTERNATIONAL	18,800	849,572	870,440	
EFG INTERNATIONAL AG CHF0.50	45,728	444,616	655,571	
ELECTRONIC ARTS INC	65,000	943,570	1,491,100	
ELI LILLY & CO	119,300	5,952,520	6,084,300	
ELLIE MAE INC	41,550	1,067,127	1,116,449	
EMBRAER SA	16,300	464,713	524,534	
EMC CORP/MA	57,100	1,439,337	1,436,065	
EMCOR GROUP INC	34,154	1,213,656	1,449,496	
EMPEROR WATCH & JEWELLERY	4,257,627	347,895	323,972	
ENCANA CORP	27,300	539,448	492,765	
ENCORE CAPITAL GROUP INC	8,380	395,542	421,179	
ENDOLOGIX INC	92,891	1,316,796	1,620,019	
ENERSYS	18,850	1,278,611	1,321,197	
ENQUEST PLC	220,020	429,171	490,493	
ENTEGRIS INC	17,888	164,212	207,322	
ENVESTNET INC	50,573	805,115	2,038,092	
EOG RESOURCES INC	4,700	567,713	788,848	
ERICSSON	66,700	673,670	816,408	
ESTEE LAUDER COS INC/THE	42,555	2,547,342	3,205,243	
ESTERLINE TECHNOLOGIES CORP	20,640	1,317,025	2,104,454	
EUROFINS SCIENTIFIC EUR0.10	3,300	532,963	893,532	
EXACT SCIENCES CORP	26,065	259,502	306,264	
EXAMWORKS GROUP INC	11,750	334,958	350,973	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
EXELON CORP	125,800	3,796,569	3,445,662	
EXONE CO/THE	2,410	112,067	145,709	
EXPRESS INC	28,660	434,607	535,082	
EXXON MOBIL CORP	117,355	10,157,075	11,876,326	
FAIRCHILD SEMICONDUCTOR INTERN	80,728	1,145,218	1,077,719	
FEDEX CORP	33,380	3,061,614	4,799,043	
FIDELITY NATIONAL FINANCIAL IN	31,760	751,807	1,030,612	
FIESTA RESTAURANT GROUP INC	32,069	1,084,011	1,675,285	
FINANCIAL ENGINES INC	38,150	1,058,281	2,650,662	
FIRST BANCORP/PUERTO RICO	201,485	1,348,939	1,247,192	
FIRST HORIZON NATIONAL CORP	114,495	1,140,789	1,333,867	
FIRST NIAGARA FINANCIAL GROUP	159,070	1,319,641	1,689,323	
FIVE BELOW INC	21,420	813,409	925,301	
FLEETMATICS GROUP LTD	48,970	1,317,567	2,117,953	
FLEXTRONICS INTERNATIONAL LTD	242,600	1,506,566	1,885,002	
FLIGHT CENTRE TRAVEL GROUP LTD	6,550	183,606	278,641	
FOOT LOCKER INC	30,475	978,857	1,262,884	
FORTINET INC	8,130	170,893	155,527	
FORUM ENERGY TECHNOLOGIES INC	41,280	1,027,015	1,166,573	
FOX FACTORY HOLDING CORP	22,510	400,149	396,626	
FRANKLIN RESOURCES INC	37,315	1,563,499	2,154,195	
FREEPORT-MCMORAN COPPER & GOLD	49,980	1,709,316	1,886,245	
FRESH MARKET INC/THE	18,420	873,209	746,010	
FUGRO NV CVZ EURO0.05	9,253	543,106	552,274	
GAM HOLDING LTD	58,350	811,511	1,138,329	
GANNETT CO INC	67,400	1,318,921	1,993,692	
GATX CORP	30,700	1,329,310	1,601,619	
GDF SUEZ EUR1	75,077	1,465,755	1,768,518	
GENERAL ELECTRIC CO	94,080	1,974,739	2,637,062	
GENESEE & WYOMING INC	9,675	740,441	929,284	
GENOMMA LAB INTERNACIONAL SAB	73,600	150,703	205,788	
GENWORTH FINANCIAL INC	113,675	870,802	1,765,373	
GEOSPACE TECHNOLOGIES CORP	11,001	919,722	1,041,091	
GFK SE NPV	11,200	569,823	622,029	
GIVAUDAN AG CHF10	2,319	2,439,719	3,321,983	
GLACIER BANCORP INC	52,160	767,274	1,553,846	
GLAXOSMITHKLINE PLC	36,200	1,573,614	1,932,718	
GLOBAL INDEMNITY PLC	25,520	564,758	645,656	
GMO INTERNET INC	92,400	701,327	1,213,187	
GOODMAN FIELDER NPV	1,090,580	735,463	668,346	
GOOGLE INC	7,781	5,504,124	8,720,245	
GRAN TIERRA ENERGY INC	264,385	1,666,375	1,932,654	
GRAND CANYON EDUCATION INC	22,140	731,105	965,304	
GREIF INC	2,000	89,000	104,800	
GROUP 1 AUTOMOTIVE INC	45,300	2,847,531	3,217,206	
GRUPO AEROPORTUARIO DEL	28,700	347,419	357,710	
GTECH SPA EUR1	31,900	845,159	974,078	
GUIDEWIRE SOFTWARE INC	24,814	823,303	1,217,623	
GULFPORT ENERGY CORP	21,509	826,564	1,357,863	
HAIN CELESTIAL GROUP INC/THE	11,083	607,104	1,006,115	
HAKUHODO DY HLDGS INC NPV	68,400	504,158	530,384	
HAMBURGER HAFEN UND LOGISTIK A	20,680	502,036	506,659	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
HAVAS EUR0.4	112,340	836,774	926,317	
HAYS ORD 1P	665,400	1,165,114	1,430,485	
HB FULLER CO	20,947	729,375	1,090,082	
HEALTH NET INC	30,885	784,066	916,358	
HEALTHSOUTH CORP	19,188	405,059	639,344	
HELEN OF TROY LTD NEW	32,255	1,077,962	1,592,752	
HELIX ENERGY SOLUTIONS GROUP I	44,308	919,202	1,027,059	
HELLENIC EXCHANGES - ATHENS ST	58,540	450,447	645,322	
HELVETIA HOLDING AG CHF0.1	1,450	548,888	729,606	
HERTZ GLOBAL HOLDINGS INC	41,290	794,161	1,181,720	
HEWLETT-PACKARD CO	189,400	3,087,350	5,299,412	
HEXCEL CORP	28,355	777,845	1,267,185	
HITACHI NPV	392,000	2,421,154	2,968,765	
HOME DEPOT INC/THE	18,510	1,144,844	1,524,113	
HOMEAWAY INC	40,940	958,085	1,673,627	
HONEYWELL INTERNATIONAL INC	29,929	1,899,594	2,734,613	
HORIBA Y50	25,300	732,989	864,155	
HORNBECK OFFSHORE SERVICES INC	60,000	2,060,400	2,953,800	
HSBC HLDGS USD0.50 HONGKONG	416,188	4,386,848	4,516,811	
HSBC HOLDINGS PLC	29,585	1,570,076	1,631,021	
HUMANA INC	13,300	1,197,515	1,372,826	
HUNTINGTON BANCSHARES INC/OH	139,148	889,156	1,342,778	
HUTCHISON TELECOMMUNICATIONS	552,000	253,536	209,303	
HYPERION THERAPEUTICS INC	14,174	399,500	286,598	
ICON PLC	20,990	815,365	848,332	
IMAX CORP	68,750	1,642,288	2,026,750	
IMMUNOMEDICS INC	88,815	259,340	408,549	
IMPERIAL OIL LTD	91,300	3,827,239	4,042,120	
IMPERVA INC	38,780	1,406,922	1,866,481	
INCHCAPE PLC	83,204	721,843	846,822	
INFOBLOX INC	41,884	1,016,418	1,383,010	
INFORMA PLC GBP0.10	71,700	523,302	681,049	
INSIGHT ENTERPRISES INC	45,965	798,412	1,043,865	
INTEGRATED DEVICE TECHNOLOGY I	142,316	1,045,575	1,448,777	
INTEL CORP	149,675	3,086,299	3,884,815	
INTERMEDIATE CAP GROUP ORD 20P	228,920	1,175,866	1,592,425	
INTERNATIONAL BUSINESS MACHINE	37,505	7,094,669	7,034,813	
INTERNATIONAL CONSOLIDATED	496,161	2,012,084	3,298,571	
INTERNATIONAL PERSONAL FINANCE	57,188	438,547	471,694	
INTERPUBLIC GROUP OF COS INC/T	80,100	882,702	1,417,770	
INTERSIL CORP	90,710	760,063	1,040,534	
INTERXION HOLDING NV	47,260	1,163,846	1,115,809	
INTUIT INC	22,000	1,308,450	1,679,040	
INVESTMENT TECHNOLOGY GROUP IN	62,565	573,878	1,286,336	
IPSOS	23,660	878,093	1,014,583	
JABIL CIRCUIT INC	21,000	400,893	366,240	
JACOBS ENGINEERING GROUP INC	4,047	200,381	254,921	
JANUS CAPITAL GROUP INC	90,829	811,630	1,123,555	
JAPAN LOGISTICS FUND INC JAPAN	65	707,260	689,549	
JAZZTEL PLC	125,549	897,301	1,345,769	
JETBLUE AIRWAYS CORP	81,900	468,468	699,426	
JGC CORP Y50	92,000	2,837,403	3,610,675	

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ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
JOHNSON & JOHNSON	150,020	10,516,402	13,740,332	
JOHNSON CONTROLS INC	66,100	2,027,287	3,390,930	
JPMORGAN CHASE & CO	182,500	8,098,926	10,672,600	
JSR CORP JPY50	17,700	338,678	342,869	
KADANT INC	24,440	647,904	990,309	
KAISER ALUMINUM CORP	17,032	1,052,059	1,196,328	
KANSAI PAINT CO Y50	54,000	593,837	798,915	
KAPSTONE PAPER AND PACKAGING C	15,633	599,172	873,259	
KAYABA INDUSTRY CO Y50	127,000	544,087	668,198	
KBC GROUPE NPV	34,623	1,747,779	1,967,986	
KDDI CORP Y5000	87,700	3,086,881	5,398,592	
KELLOGG CO	29,400	1,703,395	1,795,458	
KEYCORP	101,613	886,150	1,363,646	
KINDER MORGAN INC/DELAWARE	53,955	1,906,230	1,942,380	
KINGBOARD CHEM HLDG HK\$0.10	172,900	511,207	451,552	
KIRBY CORP	16,100	996,429	1,597,925	
KLA-TENCOR CORP	14,500	692,520	934,670	
KODIAK OIL & GAS CORP	165,018	1,431,469	1,849,852	
KRAFT FOODS GROUP INC	20,230	919,858	1,090,599	
KRONES AG ORD NPV	6,450	399,673	554,864	
KUKA AG	7,800	284,545	365,970	
KUONI REISEN HLDG CHF1(REGD)	2,460	778,705	1,114,033	
L BRANDS INC	82,200	3,843,060	5,084,070	
LACLEDE GROUP INC/THE	35,275	1,374,049	1,606,424	
LAM RESEARCH CORP	16,590	891,578	903,326	
LANCASHIRE HLDGS COM SHS	33,850	426,705	454,680	
LANNETT CO INC	11,420	311,990	378,002	
LAREDO PETROLEUM INC	28,350	580,274	785,012	
LAVENDON GROUP ORD 1P	161,300	499,440	462,175	
LA-Z-BOY INC	37,245	538,073	1,154,595	
LEAR CORP	15,900	760,688	1,287,423	
LEGRAND SA EUR4	71,167	2,990,722	3,928,467	
LEXINGTON REALTY TRUST	99,632	1,058,461	1,017,243	
LIFE TECHNOLOGIES CORP	24,303	1,193,386	1,842,167	
LIFELOCK INC	51,310	663,672	841,997	
LIGAND PHARMACEUTICALS INC	8,750	364,062	460,250	
LINDE AG NPV	9,493	1,652,287	1,988,948	
LINDSAY CORP	13,730	1,279,878	1,136,158	59,663
LINK REAL ESTATE INVT	197,460	963,254	957,536	
LITTELFUSE INC	12,665	810,901	1,176,958	
LLOYDS BANKING GROUP PLC	2,773,851	2,446,416	3,623,898	
LOCKHEED MARTIN CORP	14,000	1,292,060	2,081,240	
LUMINEX CORP	15,300	256,006	296,820	
MACDONALD DETTWILER & ASSOC	11,600	811,859	898,522	
MAGELLAN HEALTH SERVICES INC	11,280	558,182	675,785	
MAGNA INTERNATIONAL INC	12,400	620,248	1,017,544	
MANPOWERGROUP INC	7,900	335,276	678,294	
MARATHON OIL CORP	43,200	1,324,512	1,524,960	
MARKETAXESS HOLDINGS INC	40,650	1,630,275	2,720,623	
MARSH & MCLENNAN COS INC	69,000	2,378,430	3,336,840	
MATTEL INC	30,000	1,098,600	1,427,400	
MAXIMUS INC	24,340	999,274	1,070,717	

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
MCDONALD'S CORP	59,030	5,207,036	5,727,681	
MCGRAW HILL FINANCIAL INC	29,080	1,589,804	2,274,056	
MEDCATH CORP	51,000	-	72,930	
MEDIASET ESPANA COMUNICACION	23,280	266,683	269,108	
MEDICAL PROPERTIES TRUST INC	72,965	905,987	891,632	
MEDIDATA SOLUTIONS INC	47,420	1,832,124	2,869,005	
MEDIOLANUM NPV POST SUBD	168,164	862,254	1,459,846	
MEDTRONIC INC	81,104	3,326,886	4,654,559	
MERCADOLIBRE INC	2,140	168,097	230,671	
MERCK & CO INC	56,860	2,327,848	2,845,843	
MERITAGE HOMES CORP	29,585	1,105,000	1,419,784	
MERSEN	15,950	443,491	553,633	
METHANEX CORP	15,506	989,348	918,575	
METHODE ELECTRONICS INC	19,296	301,376	659,730	
MICHAEL PAGE INTL ORD GBP0.01	262,114	1,682,962	2,118,536	
MICRO FOCUS INTERNATIONAL PLC	56,357	577,594	716,861	
MICRON TECHNOLOGY INC	32,900	242,524	715,575	
MICROSOFT CORP	274,715	7,343,714	10,277,088	
MIDDLEBY CORP	8,490	1,251,504	2,035,257	
MILLENNIUM & COPTHORNE HOTELS	33,900	278,277	336,881	
MISUMI GROUP INC Y50	13,100	350,549	411,926	
MODERN TIMES GRP (MTG) SER B	26,810	1,137,355	1,390,884	
MONDELEZ INTERNATIONAL INC	79,202	2,015,929	2,795,831	
MONEX GROUP INC NPV	103,600	449,071	464,256	
MONEYSUPERMARKET.COM GROUP PLC	142,420	409,778	426,005	
MONSANTO CO	28,480	2,695,632	3,319,344	
MONTPELIER RE HOLDINGS LTD CDT	63,000	1,440,180	1,833,300	
MOOG INC	16,650	683,150	1,131,201	
MORPHOSYS ORD NPV	18,460	713,094	1,420,654	
MOTOROLA SOLUTIONS INC	5,642	314,147	380,835	
MULTIMEDIA GAMES HLDG CO INC	46,740	1,206,780	1,465,766	
MURPHY OIL CORP	42,000	2,306,662	2,724,960	
MWI VETERINARY SUPPLY INC	4,740	574,922	805,639	
NABTESCO CORP NPV	24,600	551,298	567,575	
NATIONAL OILWELL VARCO INC	4,300	293,905	341,979	
NATIONAL PENN BANCSHARES INC	77,976	726,736	883,468	
NAVISTAR INTERNATIONAL CORP	27,125	965,161	1,035,904	64,999
NESTLE SA	95,795	6,237,404	7,033,652	
NETAPP INC	20,300	684,984	835,142	
NEUSTAR INC	20,700	867,951	1,032,102	
NEWMONT MINING CORP	26,000	1,174,979	598,780	
NEWPORT CORP	41,280	555,216	745,930	
NEWS CORP	9,847	118,096	177,443	
NEWS CORP/NEW CLASS B	7,795	97,556	138,985	
NICHIAS CORP JPY50	92,000	634,026	630,227	
NIFCO INC Y50	20,800	458,026	551,342	
NIHON KODEN CORP Y50	11,500	348,199	401,551	
NIKON CORP NPV	57,000	1,067,191	1,089,510	
NIMBLE STORAGE INC	7,700	161,700	348,810	
NIPPO CORP NPV	29,000	521,444	482,023	
NIPPON SHOKUBAI CO LTD	26,000	257,321	287,446	
NISSIN ELECTRIC Y50	55,000	326,542	336,473	

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
NOBLE ENERGY INC	12,000	610,440	817,320	
NORFOLK SOUTHERN CORP	11,700	723,528	1,086,111	
NORTHROP GRUMMAN CORP	8,900	601,462	1,020,029	
NORTHSTAR REALTY FINANCE CORP	102,900	724,416	1,384,005	
NOVADAQ TECHNOLOGIES INC	18,295	162,460	301,685	
NOVARTIS AG	103,880	6,806,313	8,349,874	
NOVARTIS AG CHF0.50 (REGD)	74,601	4,733,965	5,972,442	
NOVO NORDISK A/S	19,165	3,127,920	3,540,925	
NPS PHARMACEUTICALS INC	41,470	546,889	1,259,029	
NRG ENERGY INC	125,650	2,919,648	3,608,668	
NUANCE COMMUNICATIONS INC	73,000	1,548,707	1,109,600	
NVIDIA CORP	53,000	697,262	849,060	
NXSTAGE MEDICAL INC	44,554	501,232	445,540	
OASIS PETROLEUM INC	26,310	836,658	1,235,781	
OCCIDENTAL PETROLEUM CORP	46,545	3,620,306	4,426,430	
OCEANEERING INTERNATIONAL INC	900	48,411	70,992	
OFG BANCORP	175,905	2,840,645	3,050,193	17
OLD DOMINION FREIGHT LINE INC	28,638	989,417	1,518,387	
OLIN CORP	24,830	536,080	716,346	
ON ASSIGNMENT INC	68,720	1,408,949	2,399,702	
ONCONOVA THERAPEUTICS INC	14,002	257,428	160,743	
OPENTABLE INC	9,510	525,938	754,809	
ORACLE CORP	111,200	3,547,193	4,254,512	
OSHKOSH CORP	18,075	852,242	910,619	
OWENS CORNING	28,690	1,113,475	1,168,257	
OXFORD INDUSTRIES INC	3,140	246,051	253,304	
PACCAR INC	47,200	2,139,173	2,792,824	
PACIFIC BRANDS NPV	267,300	172,057	153,050	
PACT GROUP HLDGS LTD	95,924	330,338	281,484	
PARAGON GROUP OF COMPANIES	150,666	679,777	925,795	
PARTNERS GRP HLDG AG CHF0.01	1,990	459,156	532,322	
PDC ENERGY INC	27,787	1,124,879	1,478,824	
PENNSYLVANIA REAL ESTATE INVES	41,550	846,373	788,619	
PEPSICO INC	54,200	3,708,906	4,495,348	
PERKINELMER INC	4,900	155,526	202,027	
PETROLEUM GEO-SERVICES ASA	39,110	670,076	460,603	
PEUGEOT SA EUR1	95,082	1,357,250	1,236,550	3,199
PHILIP MORRIS INTERNATIONAL IN	125,080	10,461,691	10,898,220	
PHILLIPS 66	24,280	1,289,268	1,872,716	
PINNACLE WEST CAPITAL CORP	22,850	1,231,256	1,209,222	
PLAYTECH PLC	154,400	1,070,669	1,884,693	
PLEXUS CORP	31,896	828,110	1,380,778	
PNM RESOURCES INC	36,657	751,835	884,167	
POLARCUS LTD	375,051	447,480	289,935	
POLYONE CORP	51,601	1,063,525	1,824,095	
POLYPORE INTERNATIONAL INC	22,500	865,035	875,250	
POPULAR INC	83,435	2,108,294	2,397,088	
PORTFOLIO RECOVERY ASSOCIATES	40,540	1,762,945	2,142,134	
PORTLAND GENERAL ELECTRIC CO	24,380	667,037	736,276	
POSTNL NV	371,325	1,428,521	2,123,419	
POTASH CORP OF SASKATCHEWAN IN	18,200	740,558	599,872	
POWER SOLUTIONS INTERNATIONAL	6,322	255,944	474,782	

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AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
POWERSECURE INTERNATIONAL INC	22,310	380,994	383,063	
PPL CORP	45,100	1,324,663	1,357,059	
PRAXAIR INC	30,695	3,359,568	3,991,271	
PREMIER OIL ORD GBP0.125	251,270	1,396,748	1,305,096	
PRIMORIS SERVICES CORP	47,728	750,029	1,485,773	
PROASSURANCE CORP	30,260	1,276,669	1,467,005	
PROCTER & GAMBLE CO/THE	67,685	4,595,135	5,510,236	
PROGRESS SOFTWARE CORP	33,465	748,924	864,401	
PROOFPOINT INC	51,590	1,247,352	1,711,240	
PROS HOLDINGS INC	32,091	655,456	1,280,431	
PROSIEBENSAT1 MEDI	36,150	1,520,496	1,793,264	
PROTO LABS INC	13,090	671,971	931,746	
PTC INC	29,875	747,609	1,057,276	
PUBLIC SERVICE ENTERPRISE GROU	90,600	2,788,403	2,902,824	
QIAGEN N V	22,600	461,310	538,106	
QUALCOMM INC	72,605	4,509,505	5,390,921	
RAMBUS INC	10,500	51,135	99,435	
RANGE RESOURCES CORP	6,000	376,980	505,860	
REDWOOD TRUST INC	135,380	2,873,863	2,622,311	13,191
REED ELSEVIER NV EUR0.07	305,626	4,506,854	6,485,515	
REGAL-BELOIT CORP	46,240	3,136,726	3,408,813	
RESTAURANT GRP PLC ORD	116,660	733,682	1,143,851	
RETAILMENOT INC	16,238	431,186	467,492	
REXAM ORD GBP0.714285714	276,807	2,232,793	2,432,139	
RIO TINTO PLC	36,487	2,029,111	2,060,415	
RITCHIE BROS AUCTIONEERS INC	29,000	605,810	664,970	
RITE AID CORP	132,305	635,656	669,463	
ROADRUNNER TRANSPORTATION SYST	37,860	1,066,765	1,020,327	
ROCHE HLDG AG GENUSSSCHEINE NPV	22,339	4,511,186	6,259,492	
ROCHE HOLDING AG	53,955	2,711,455	3,779,602	
ROCK TENN CO	10,198	722,787	1,070,892	
ROCKWELL AUTOMATION INC	4,500	377,955	531,720	
ROCKWOOD HOLDINGS INC	15,417	781,763	1,108,791	
ROHTO PHARMACEUTICAL CO Y50	39,000	453,756	595,547	
ROLLS-ROYCE HLDGS PLC	117,383	1,666,691	2,478,799	
ROSS STORES INC	20,800	1,151,486	1,558,544	
ROYAL CARIBBEAN CRUISES LTD	2,300	78,200	109,066	
ROYAL DUTCH SHELL PLC	105,634	3,669,627	3,784,305	
ROYAL DUTCH SHELL PLC	71,700	4,993,545	5,385,387	
ROYAL DUTCH SHELL PLC	60,430	4,166,649	4,306,846	
RTI INTERNATIONAL METALS INC	31,059	858,329	1,062,528	
RYANAIR HOLDINGS PLC	21,200	726,736	994,916	
RYLAND GROUP INC	33,649	1,241,158	1,460,703	
RYMAN HOSPITALITY PROPERTIES	20,920	869,246	874,038	
SABMILLER PLC	31,535	1,448,087	1,619,669	
SAFETY INSURANCE GROUP INC	18,835	869,612	1,060,411	
SAFT GROUPE S.A. EUR1	8,530	199,053	293,848	
SAIA INC	43,900	676,645	1,406,995	
SAINT MARC HOLDINGS CO.LT NPV	10,112	506,502	483,929	
SANDISK CORP	38,500	1,674,750	2,715,790	
SANOFI	55,902	5,316,912	5,940,566	
SANOFI	46,000	2,242,968	2,466,980	

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Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
SANTEN PHARMACEUTICAL CO	5,900	226,201	275,339	
SAP AG ORD NPV	32,680	2,614,848	2,805,907	
SCHLUMBERGER LTD	26,596	1,843,076	2,396,566	
SCIQUEST INC	40,490	643,252	1,153,155	
SCORPIO TANKERS INC	116,800	1,052,539	1,377,072	
SEEK LIMITED NPV	44,270	506,901	531,119	
SEMBICORP INDUSTRIES SGD0.25	283,000	1,216,843	1,230,532	
SEMBICORP MARINE SGD0.10	510,000	1,902,819	1,797,481	
SENSIENT TECHNOLOGIES CORP	17,235	612,877	836,242	
SHIN-ETSU CHEMICALS CO NPV	61,300	3,695,039	3,581,009	
SHUTTERFLY INC	39,350	1,175,385	2,004,096	
SIEMENS AG NPV REGD	42,807	4,621,585	5,856,711	
SKANDINAVISKA ENSKILDA BANKEN	231,317	2,200,188	3,054,165	
SMURFIT KAPPA GROUP PLC ORD	58,935	573,628	1,452,838	
SMURFIT KAPPA GROUP PLC ORD	80,730	1,002,512	1,986,780	
SNAP-ON INC	18,160	1,434,458	1,988,883	
SOFTWARE AG BEARER SHS	23,410	883,948	819,348	
SOLAZYME INC	19,600	193,642	213,444	44
SONY CORP	41,689	554,372	720,803	
SOUTHERN CO	32,600	1,354,081	1,340,186	
SOUTHWEST AIRLINES CO	203,800	2,086,912	3,839,592	
SOUTHWESTERN ENERGY CO	8,500	283,985	334,305	
SPAREBANK 1 SMN NOK25	44,755	382,701	405,734	
SPAREBANK 1 SR BK	54,746	411,462	543,684	
SPECTRANETICS CORP	51,888	954,049	1,297,200	
SPECTRIS ORD GBP0.05	18,150	669,957	769,861	
SPIRIT AEROSYSTEMS HOLDINGS IN	46,564	795,827	1,586,901	
SPS COMMERCE INC	37,922	1,693,609	2,476,307	
STANLEY BLACK & DECKER INC	16,500	1,262,364	1,331,385	
STATE STREET CORP	13,640	980,466	1,001,040	
STHREE ORD GBP0.01(WI)	68,450	368,289	409,550	
STRATASYS LTD	2,370	186,866	319,239	
SUBSEA 7 SA	21,900	519,831	419,096	
SULZER AG CHF0.01(REGD)	4,500	708,418	728,116	
SUMITOMO MITSUI GR NPV	54,900	2,339,632	2,831,055	
SUNDRUG CO Y50	12,100	412,686	541,654	
SUNSTONE HOTEL INVESTORS INC	97,485	1,061,663	1,306,299	
SUPERIOR ENERGY SERVICES INC	34,245	716,328	911,259	
SURUGA BANK LTD Y50	81,000	1,335,637	1,453,461	
SUSQUEHANNA BANCSHARES INC	184,488	1,933,434	2,368,826	
SYMANTEC CORP	30,600	575,892	721,548	
SYNCHRONOSS TECHNOLOGIES INC	37,582	937,599	1,167,673	
SYNERGY RESOURCES CORP	67,953	649,476	629,245	
SYNOVUS FINANCIAL CORP	388,716	1,016,754	1,399,378	
SYSMEX CORP JPY50	13,300	609,894	785,814	
TAKATA CORPORATION NPV	12,300	227,735	352,833	
TANDEM DIABETES CARE INC	19,847	332,796	511,457	
TARGET CORP	117,465	7,306,563	7,432,011	
TAYLOR WIMPEY PLC ORD GBP0.01	711,958	1,006,641	1,314,786	
TE CONNECTIVITY LTD	25,225	936,352	1,390,150	
TEAM HEALTH HOLDINGS INC	23,240	826,702	1,058,582	
TEARLAB CORP	38,594	453,078	360,468	

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AS OF DECEMBER 31, 2013 (CONTINUED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
TECH DATA CORP	4,850	242,412	250,260	
TECHNIP SA EUR	31,365	3,593,567	3,019,307	
TECNICAS REUNIDAS ORD EUR0.10	40,524	1,874,481	2,204,844	
TEMENOS GROUP AG CHF5 (REGD)	66,220	1,315,955	1,876,364	
TERADATA CORP	29,595	1,441,861	1,346,277	
TEREX CORP	29,100	920,047	1,221,909	
TESCO ORD 5P	528,511	2,891,901	2,926,721	
TESLA MOTORS INC	3,200	108,384	481,373	180,064
TEXAS INSTRUMENTS INC	195,605	6,042,239	8,589,016	
TEXTRON INC	33,830	873,467	1,243,591	
THOMAS COOK GROUP PLC ORD	591,350	1,421,493	1,637,596	
TIME WARNER CABLE INC	16,600	1,613,354	2,249,300	
TJX COS INC	8,200	348,090	522,586	
TOKAI RIKA DENKI Y50	14,300	310,834	284,626	
TOKYO ELECTRON NPV	5,300	240,259	290,452	
TOKYO OHKA KOGYO Y50	36,200	777,823	774,595	
TOTAL SA	109,530	5,653,424	6,710,903	
TOTAL SA EUR2.5	58,455	3,016,996	3,586,805	
TOYOTA MOTOR CORP NPV	74,600	3,461,427	4,556,700	
TRANSOCEAN LTD	41,400	1,966,738	2,045,988	
TRIMBLE NAVIGATION LTD	68,300	2,041,487	2,370,010	
TRIQUINT SEMICONDUCTOR INC	86,755	434,244	723,537	
TS TECH CO LTD NPV	20,200	597,483	681,309	
TUESDAY MORNING CORP	131,000	818,750	2,090,760	
TWENTY FIRST CENTURY FOX INC	39,390	914,265	1,385,346	
TWENTY-FIRST CENTURY FOX CL B	31,200	751,064	1,079,520	
TYLER TECHNOLOGIES INC	13,479	740,387	1,376,610	
UBS AG CHF0.1 (POST	241,460	3,915,888	4,593,808	
UGI CORP	24,453	799,858	1,013,821	
ULTIMATE SOFTWARE GROUP INC	8,537	805,978	1,308,039	
UNILEVER NV CVA EUR0.16	48,936	1,835,525	1,974,053	
UNION PACIFIC CORP	5,400	678,888	907,200	
UNIPOLSAI SPA	404,850	891,591	1,308,747	
UNITED CONTINENTAL HOLDINGS IN	40,200	964,273	1,520,766	
UNITED NATURAL FOODS INC	9,255	493,339	697,734	
UNITED PARCEL SERVICE INC	24,709	1,821,795	2,596,422	
UNITED TECHNOLOGIES CORP	19,255	1,579,103	2,191,219	
UNITEDHEALTH GROUP INC	51,300	2,898,215	3,862,890	
UNIVERSAL HEALTH SERVICES INC	16,305	808,559	1,324,944	
UNUM GROUP	67,500	1,405,350	2,367,900	
USG PEOPLE NV	73,800	843,713	985,199	
VCA ANTECH INC	45,065	1,272,942	1,413,238	
VECTREN CORP	26,479	778,483	940,005	
VERACYTE INC	27,275	354,575	395,488	
VESUVIUS PLC ORD GBP0.00	91,380	538,760	771,875	
VISA INC	13,700	2,076,646	3,050,716	
VISHAY INTERTECHNOLOGY INC	82,535	914,353	1,094,414	
VITASOY INTERNATIONAL HOLDINGS	408,000	416,904	628,279	
VODAFONE GROUP	1,058,476	2,683,180	4,154,849	
VODAFONE GROUP PLC	120,400	3,065,831	4,732,924	
WADDELL & REED FINANCIAL INC	20,295	706,672	1,321,610	
WAGeworks INC	14,708	638,831	874,244	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2013 (CONCLUDED)

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Number of Shares	Cost	Fair Value	Shares Restricted Under Lending Agreement
WALGREEN CO	56,290	2,137,204	3,233,298	
WAL-MART STORES INC	101,295	7,215,269	7,970,904	
WALT DISNEY CO/THE	15,000	746,850	1,146,000	
WATERS CORP	3,000	261,360	300,000	
WELLCARE HEALTH PLANS INC	56,506	2,771,707	3,979,153	
WELLPOINT INC	26,400	1,607,607	2,439,096	
WELLS FARGO & CO	99,021	3,806,382	4,495,553	
WERNER ENTERPRISES INC	59,245	1,283,839	1,465,129	
WESTERN ALLIANCE BANCORP	73,387	772,765	1,751,014	
WESTERN REFINING INC	94,225	2,656,203	3,996,082	
WEX INC	10,050	753,783	995,252	
WHIRLPOOL CORP	5,100	518,925	799,986	
WHITECAP RESOURCES INC	82,920	805,622	986,455	
WHOLE FOODS MARKET INC	26,190	1,193,740	1,514,568	
WILLIS GROUP HOLDINGS PUBLIC	41,300	1,417,509	1,850,653	
WYNDHAM WORLDWIDE CORP	26,124	1,394,418	1,925,078	
YAHOO! INC	22,650	450,735	915,966	
YUE YUEN INDL HLDG HKD0.25	367,657	1,228,551	1,228,092	
ZIMMER HOLDINGS INC	15,600	1,039,896	1,453,764	
ZIONS BANCORPORATION	73,481	1,594,856	2,201,491	
ZURICH INSURANCE GROUP AG	8,863	2,363,047	2,576,113	
TOTAL COMMON STOCKS		<u>895,923,460</u>	<u>1,149,990,504</u>	
PARTNERSHIP				
ACCESS MIDSTREAM PARTNERS LP	245,000	250,144	260,925	
ACCESS MIDSTREAM PARTNERS LP	140,000	149,100	149,800	
COMPASS TECHNOLOGY PARTNERS LP	45,457	51,834	45,457	
TOTAL PARTNERSHIP		<u>451,078</u>	<u>456,182</u>	
COMMON/COLLECTIVE TRUSTS				
EB DV STOCK INDEX FUND	41,918	55,957,768	100,875,339	
EB DV LGE CAP GRWTH SIF	316,035	98,907,847	169,378,709	
TOTAL COMMON/COLLECTIVE TRUST		<u>154,865,615</u>	<u>270,254,048</u>	
REGISTERED INVESTMENT COMPANIES				
CAUSEWAY EMERGING MARKETS FUND	4,191,745	46,573,858	48,791,909	
VANGUARD INTERNATIONAL GROWTH	3,170,447	191,229,923	235,310,583	
TOTAL REGISTERED INVESTMENT COMPANIES		<u>237,803,781</u>	<u>284,102,492</u>	
TOTAL EQUITY INVESTMENTS		<u>\$ 1,289,356,539</u>	<u>\$ 1,705,116,886</u>	

ROCKWELL COLLINS PENSION PLAN
 EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
 SCHEDULE OF ASSETS (HELD AT END OF YEAR)
 AS OF DECEMBER 31, 2013

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
FIXED INCOME INVESTMENTS						
FIXED INCOME						
ABB FINANCE USA INC	\$ 319,000	\$ 308,823	\$ 292,332	08-May-42	4.00%	
ABBVIE INC	304,000	306,117	283,532	06-Nov-42	4.00%	
ACE CAPITAL TRUST II	344,000	498,800	491,920	01-Apr-30	10.00%	
ACE INA HOLDINGS INC	140,000	139,618	126,904	13-Mar-43	4.00%	
ACTAVIS INC	97,000	100,990	88,251	01-Oct-42	5.00%	
ACTIVISION BLIZZARD INC 144A	650,000	664,100	677,625	15-Sep-23	6.00%	
ADVANCED MICRO DEVICES INC	70,000	64,125	69,475	01-Aug-20	8.00%	
ADVANCED MICRO DEVICES INC	150,000	142,588	145,500	15-Aug-22	8.00%	
AEP TEXAS CENTRAL CO	45,000	57,198	51,976	15-Feb-33	7.00%	
AETNA INC	110,000	152,595	134,148	15-Dec-37	7.00%	
AETNA INC	1,189,000	1,166,295	1,105,306	15-May-42	5.00%	
AFLAC INC	105,000	139,624	129,143	17-Dec-39	7.00%	
AFLAC INC	60,000	75,880	70,596	15-Aug-40	6.00%	
AFLAC INC	225,000	225,000	217,796	15-Jun-23	4.00%	
AGL CAPITAL CORP	862,000	1,126,031	945,467	15-Mar-41	6.00%	
AGRIUM INC	120,000	128,622	129,160	15-Jan-41	6.00%	
AGUILA 3 SA 144A	210,000	215,775	222,600	31-Jan-18	8.00%	
AIG SUNAMERICA GLOBAL FINANCIN	1,344,000	1,739,674	1,629,452	15-Mar-32	7.00%	
AIR CANADA 144A	725,000	725,856	770,313	01-Apr-20	9.00%	
AIR CANADA 144A	340,000	340,088	358,700	01-Oct-19	7.00%	
AIR CANADA 2013-1 CLASS A 144A	44,000	44,000	42,900	15-Nov-26	4.00%	
AIRCASTLE LTD	140,000	158,200	152,950	01-Aug-18	10.00%	
AIRCASTLE LTD	335,000	374,363	376,038	15-Apr-20	8.00%	
ALABAMA POWER CO	356,000	470,771	420,739	15-May-38	6.00%	
ALABAMA POWER CO	900,000	1,069,147	1,050,165	01-Mar-39	6.00%	
ALABAMA POWER CO	300,000	315,060	318,417	01-Jun-41	5.00%	
ALABAMA POWER CO	45,000	44,338	38,385	01-Dec-42	4.00%	
ALABAMA POWER CO	1,203,000	1,199,596	1,180,696	01-Dec-23	4.00%	
ALBERTA ENERGY CO LTD	70,000	90,893	82,186	01-Nov-31	7.00%	
ALCATEL-LUCENT USA INC	175,000	156,406	154,875	15-Mar-29	6.00%	
ALCATEL-LUCENT USA INC 144A	280,000	281,885	290,850	15-Nov-20	7.00%	
ALLEGION US HOLDING CO IN 144A	59,000	59,000	61,360	01-Oct-21	6.00%	
ALLSTATE CORP/THE	150,000	168,255	163,965	09-May-35	6.00%	
ALLSTATE CORP/THE	2,341,000	2,332,049	2,214,984	15-Jun-43	5.00%	
ALLY AUTO RECEIVABLES T SN1 A2	299,911	299,883	299,869	20-May-15	1.00%	
ALLY FINANCIAL INC	160,000	177,155	178,400	01-Dec-17	6.00%	
ALLY FINANCIAL INC	430,000	519,225	500,950	15-Sep-20	8.00%	
ALLY FINANCIAL INC	160,000	171,162	173,200	15-Feb-17	6.00%	
ALLY FINANCIAL INC	340,000	425,175	406,725	01-Nov-31	8.00%	
ALTRIA GROUP INC	58,000	88,722	90,492	06-Feb-39	10.00%	
ALTRIA GROUP INC	320,000	308,059	273,094	09-Aug-42	4.00%	
ALTRIA GROUP INC	525,000	522,764	527,174	31-Jan-44	5.00%	
AMERICA MOVIL SAB DE CV	293,000	385,483	310,029	30-Mar-40	6.00%	
AMERICA MOVIL SAB DE CV	900,000	846,488	747,729	16-Jul-42	4.00%	
AMERICAN AIRLINES 2013-2 144A	275,000	275,000	277,750	15-Jan-22	6.00%	
AMERICAN EXPRESS CENTURION BAN	640,000	639,098	642,893	13-Nov-15	VAR	
AMERICAN EXPRESS CO	552,000	549,803	512,074	02-Dec-22	3.00%	
AMERICAN EXPRESS CREDIT CORP	235,000	237,108	235,815	24-Jun-14	VAR	
AMERICAN HONDA FINANCE CORP	140,000	140,000	140,728	07-Oct-16	VAR	
AMERICAN INTERNATIONAL GROUP I	825,000	1,089,939	998,250	15-May-68	VAR	
AMERICAN TOWER CORP	49,000	48,945	49,362	15-Feb-24	5.00%	
AMERICAN WATER CAPITAL CORP	230,000	298,404	278,976	15-Oct-37	7.00%	
AMERICAN WATER CAPITAL CORP	33,000	34,271	29,979	01-Dec-42	4.00%	
AMERICREDIT AUTOMOBILE RE 2 A2	340,849	340,841	340,767	08-Nov-16	1.00%	
AMERICREDIT AUTOMOBILE RE 4 A2	375,000	374,984	375,368	08-Nov-16	1.00%	
AMERIPRISE FINANCIAL INC	1,250,000	1,257,379	1,246,300	15-Oct-23	4.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
 SCHEDULE OF ASSETS (HELD AT END OF YEAR)
 AS OF DECEMBER 31, 2013

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
AMGEN INC	40,000	53,671	48,424	01-Jun-38	7.00%	
AMGEN INC	165,000	185,686	164,388	15-Nov-41	5.00%	
AMGEN INC	975,000	1,112,626	1,001,052	15-May-43	5.00%	
AMGEN INC	950,000	1,195,091	1,089,517	01-Jun-37	6.00%	
AMSTED INDUSTRIES INC 144A	135,000	144,450	142,256	15-Mar-18	8.00%	
ANADARKO FINANCE CO	130,000	171,999	158,055	01-May-31	8.00%	
ANADARKO HOLDING CO	376,000	454,065	435,980	15-May-28	7.00%	
ANADARKO PETROLEUM CORP	1,315,000	1,492,334	1,454,561	15-Mar-40	6.00%	
ANADARKO PETROLEUM CORP	100,000	134,947	126,607	15-Mar-19	9.00%	
ANHEUSER-BUSCH COS LLC	325,000	462,566	434,012	01-Oct-30	8.00%	
ANHEUSER-BUSCH COS LLC	100,000	127,134	111,503	01-Apr-36	6.00%	
ANHEUSER-BUSCH INBEV WORLDWIDE	530,000	625,268	608,260	15-Jan-20	5.00%	
ANHEUSER-BUSCH INBEV WORLDWIDE	1,940,000	2,474,032	2,366,567	15-Jan-40	6.00%	
ANHEUSER-BUSCH INBEV WORLDWIDE	1,575,000	2,426,108	2,303,532	15-Jan-39	8.00%	
ANHEUSER-BUSCH INBEV WORLDWIDE	480,000	690,936	691,776	15-Nov-39	8.00%	
ANHEUSER-BUSCH INBEV WORLDWIDE	2,160,000	2,027,138	1,997,935	15-Jul-22	3.00%	
ANR PIPELINE CO	335,000	506,781	452,317	01-Nov-21	10.00%	
AON CORP	227,000	295,027	259,584	30-Sep-40	6.00%	
AON PLC	965,000	961,613	946,723	27-Nov-23	4.00%	
APACHE CORP	80,000	90,939	81,226	01-Sep-40	5.00%	
APACHE CORP	2,721,000	2,691,295	2,639,234	15-Apr-43	5.00%	
APACHE CORP	164,000	167,556	147,447	15-Jan-44	4.00%	
APACHE FINANCE CANADA CORP	135,000	192,406	179,121	15-Dec-29	8.00%	
APPALACHIAN POWER CO	100,000	124,562	111,210	01-Apr-36	6.00%	
APPALACHIAN POWER CO	775,000	1,050,893	936,084	01-Apr-38	7.00%	
APPLE INC	1,150,000	1,073,140	1,034,092	03-May-23	2.00%	
APPLE INC	2,558,000	2,392,536	2,137,004	04-May-43	4.00%	
APX GROUP INC	410,000	406,413	416,150	01-Dec-19	6.00%	
ARCHER-DANIELS-MIDLAND CO	315,000	334,423	335,053	15-Sep-35	5.00%	
ARCHER-DANIELS-MIDLAND CO	610,000	741,025	677,429	01-Mar-41	VAR	
ARCHER-DANIELS-MIDLAND CO	424,000	454,168	395,842	26-Mar-42	5.00%	
ARCHER-DANIELS-MIDLAND CO	390,000	372,977	331,566	16-Apr-43	4.00%	
ARIZONA PUBLIC SERVICE CO	56,000	64,152	57,477	01-Sep-41	5.00%	
ARIZONA PUBLIC SERVICE CO	24,000	25,524	22,981	01-Apr-42	5.00%	
ARROW ELECTRONICS INC	95,000	116,937	109,100	15-Jan-27	8.00%	
ARROW ELECTRONICS INC	190,000	222,724	215,278	01-Jun-18	7.00%	
ASSOCIATES CORP OF NORTH AMERI	81,000	97,573	96,375	01-Nov-18	7.00%	
ASSURED GUARANTY MUNICIPAL HOL	225,000	193,750	176,625	15-Dec-66	VAR	
ASSURED GUARANTY US HOLDINGS I	275,000	236,500	239,250	15-Dec-66	VAR	
ASTRAZENECA PLC	725,000	943,539	865,723	15-Sep-37	6.00%	
ASTRAZENECA PLC	200,000	178,080	173,936	18-Sep-42	4.00%	
AT&T INC	50,000	54,884	56,765	15-Feb-39	7.00%	
AT&T INC	6,140,000	6,631,669	6,231,240	15-Aug-41	6.00%	
AT&T INC	4,590,000	4,229,558	3,893,422	15-Dec-42	4.00%	
AT&T INC	1,072,000	1,076,824	907,544	15-Jun-45	4.00%	
AT&T INC	1,500,000	1,356,165	1,353,390	01-Dec-22	3.00%	
AT&T INC	285,000	285,000	284,450	12-Feb-16	VAR	
AT&T INC	4,641,000	5,404,677	4,591,945	01-Sep-40	5.00%	
ATLANTIC ASSET DISC	1,700,000	1,699,141	1,699,141	12-Feb-14		
ATLAS ENERGY HOLDINGS OPE 144A	600,000	567,000	576,000	15-Jan-21	8.00%	
AUDATEX NORTH AMERICA INC 144A	72,000	73,260	75,420	15-Jun-21	6.00%	
AUDATEX NORTH AMERICA INC 144A	43,000	43,000	44,290	01-Nov-23	6.00%	
AURORA USA OIL & GAS INC 144A	180,000	192,656	193,050	15-Feb-17	10.00%	
AUTONATION INC	210,000	225,488	225,488	01-Feb-20	6.00%	
AVANTI COMMUNICATIONS GRO 144A	250,000	250,000	250,000	01-Oct-19	10.00%	
AVIS BUDGET CAR RENTAL LLC / A	230,000	254,150	250,700	15-Jan-19	8.00%	
B/E AEROSPACE INC	180,000	190,800	182,700	01-Apr-22	5.00%	
BAE SYSTEMS PLC 144A	102,000	123,194	105,656	11-Oct-41	6.00%	
BAKER HUGHES INC	15,000	18,814	18,590	15-Jan-29	7.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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 AS OF DECEMBER 31, 2013

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
BAKER HUGHES INC	160,000	192,578	169,392	15-Sep-40	5.00%	
BANK OF AMERICA CORP	175,000	207,485	199,974	01-Jul-20	6.00%	
BANK OF AMERICA CORP	165,000	188,372	180,307	13-May-21	5.00%	
BANK OF AMERICA CORP	1,606,000	1,909,086	1,836,766	07-Feb-42	6.00%	
BANK OF AMERICA CORP	2,182,000	2,187,643	2,191,252	24-Jul-23	4.00%	
BANK OF AMERICA NA	730,000	730,000	731,445	14-Nov-16	VAR	
BANK OF MONTREAL	430,000	431,858	430,598	29-Apr-14	VAR	
BANK OF MONTREAL	145,000	145,000	145,584	15-Jul-16	VAR	
BANK OF NEW YORK MELLON CORP/T*	1,000,000	1,020,300	1,023,140	23-Sep-21	4.00%	
BAT INTERNATIONAL FINANCE 144A	360,000	375,242	344,808	07-Jun-22	3.00%	
BAXTER INTERNATIONAL INC	49,000	48,968	47,408	15-Jun-43	5.00%	
BAXTER INTERNATIONAL INC	2,100,000	2,093,385	2,006,235	15-Jun-23	3.00%	
BB-UBS TRUST 2012- SHOW A 144A	250,000	251,824	229,138	05-Nov-36	3.00%	
BERKSHIRE HATHAWAY FINANCE COR	885,000	1,042,435	978,978	15-Jan-40	6.00%	
BERKSHIRE HATHAWAY FINANCE COR	81,000	83,799	74,073	15-May-42	4.00%	
BERKSHIRE HATHAWAY FINANCE COR	912,000	904,549	821,356	15-May-43	4.00%	
BERKSHIRE HATHAWAY FINANCE COR	180,000	179,658	180,817	15-Aug-16	1.00%	
BERKSHIRE HATHAWAY FINANCE COR	500,000	499,100	500,300	15-Aug-18	2.00%	
BERKSHIRE HATHAWAY INC	1,520,000	1,585,126	1,511,929	31-Jan-22	3.00%	
BHP BILLITON FINANCE USA LTD	1,220,000	1,484,181	1,462,646	01-Apr-19	7.00%	
BHP BILLITON FINANCE USA LTD	390,000	391,069	390,133	18-Feb-14	VAR	
BHP BILLITON FINANCE USA LTD	354,000	375,835	314,561	24-Feb-42	4.00%	
BHP BILLITON FINANCE USA LTD	690,000	689,897	701,551	30-Sep-43	5.00%	
BLACKBOARD INC 144A	190,000	190,000	188,575	15-Nov-19	8.00%	
BLOCK COMMUNICATIONS INC 144A	130,000	138,125	137,800	01-Feb-20	7.00%	
BMC SOFTWARE FINANCE INC 144A	75,000	75,000	77,250	15-Jul-21	8.00%	
BMW VEHICLE LEASE TRUST 2 1 A2	340,040	340,038	339,982	20-Jan-15	0.00%	
BNP PARIBAS FIN DISC	1,150,000	1,145,274	1,145,274	14-Feb-14		
BOEING CO/THE	18,000	27,946	24,869	15-Nov-31	9.00%	
BOEING CO/THE	425,000	616,510	561,791	15-Mar-39	7.00%	
BOEING CO/THE	165,000	222,833	195,797	15-Feb-40	6.00%	
BOMBARDIER INC 144A	285,000	292,838	282,863	15-Mar-22	6.00%	
BOMBARDIER INC 144A	410,000	410,000	406,925	15-Jan-23	6.00%	
BOSTON GAS CO 144A	45,000	47,595	42,539	15-Feb-42	4.00%	
BP CAPITAL MARKETS PLC	185,000	199,909	186,445	01-Nov-21	4.00%	
BP CAPITAL MARKETS PLC	1,750,000	1,778,738	1,767,973	26-Sep-23	4.00%	
BP CAPITAL MARKETS PLC	490,000	490,000	490,715	06-Nov-15	VAR	
BRANCH BANKING & TRUST CO	655,000	655,000	655,550	01-Dec-16	VAR	
BRISTOL-MYERS SQUIBB CO	124,000	181,586	154,802	01-Aug-97	7.00%	
BRITISH TELECOMMUNICATIONS PLC	345,000	548,095	514,823	15-Dec-30	VAR	
BROOKFIELD RESIDENTIAL PR 144A	95,000	97,375	98,563	15-Dec-20	7.00%	
BROOKFIELD RESIDENTIAL PR 144A	140,000	140,000	140,700	01-Jul-22	6.00%	
BSKYB FINANCE UK PLC 144A	219,000	281,222	244,347	15-Oct-35	7.00%	
BUNGE LTD FINANCE CORP	265,000	340,973	325,547	15-Jun-19	9.00%	
BURLINGTON NORTHERN SANTA FE L	73,000	76,726	65,221	01-Sep-42	4.00%	
BURLINGTON NORTHERN SANTA FE L	100,000	123,282	109,739	01-May-40	6.00%	
BURLINGTON NORTHERN SANTA FE L	465,000	550,644	482,307	01-Jun-41	5.00%	
BURLINGTON NORTHERN SANTA FE L	180,000	244,044	225,682	01-Jun-36	7.00%	
BURLINGTON NORTHERN SANTA FE L	260,000	320,104	299,913	01-Aug-28	7.00%	
BURLINGTON NORTHERN SANTA FE L	250,000	306,228	286,783	15-Mar-29	7.00%	
BURLINGTON RESOURCES FINANCE C	25,000	34,138	32,412	01-Dec-31	7.00%	
CABLEVISION SYSTEMS CORP	230,000	259,038	257,025	15-Apr-20	8.00%	
CAESARS ENTERTAINMENT OPERATIN	715,000	683,613	688,188	15-Feb-20	9.00%	
CAESARS ENTERTAINMENT OPERATIN	135,000	144,619	137,363	01-Jun-17	11.00%	
CAESARS OPER ESCROW LLC	115,000	109,681	111,838	15-Feb-20	9.00%	
CAFCO LLC DISC	1,200,000	1,197,298	1,197,298	14-Feb-14		
CALPINE CORP 144A	219,000	241,995	238,984	15-Feb-21	8.00%	
CALPINE CORP 144A	46,000	51,980	50,255	15-Jan-23	8.00%	
CALPINE CORP 144A	200,000	198,386	205,000	15-Jan-22	6.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
CALPINE CORP 144A	155,000	155,000	151,513	15-Jan-24	6.00%	
CANADIAN NATIONAL RAILWAY CO	265,000	357,724	344,288	15-Oct-31	7.00%	
CANADIAN NATIONAL RAILWAY CO	435,000	616,452	529,930	15-Nov-37	6.00%	
CANADIAN NATURAL RESOURCES LTD	300,000	399,399	359,448	15-Jan-32	7.00%	
CANADIAN NATURAL RESOURCES LTD	350,000	444,132	392,186	15-Mar-38	6.00%	
CANADIAN PACIFIC RAILWAY CO	86,000	114,223	103,422	15-Oct-31	7.00%	
CAPITAL AUTO RECEIVABLES 1 A1	245,000	244,995	244,909	20-Mar-15	0.00%	
CAPITAL AUTO RECEIVABLES 3 A1A	405,000	404,986	405,470	20-Nov-15	1.00%	
CAPITAL ONE BANK USA NA	300,000	338,525	278,904	15-Feb-23	3.00%	
CARGILL INC	170,000	238,082	212,400	01-Nov-36	7.00%	
CARGILL INC	105,000	149,104	132,465	18-Jun-27	7.00%	
CARGILL INC 144A	200,000	231,498	226,056	15-Sep-36	6.00%	
CARMAX AUTO OWNER TRUST 2 1 A2	129,229	129,219	129,264	15-Mar-16	0.00%	
CARMIKE CINEMAS INC	140,000	151,200	152,600	15-May-19	7.00%	
CATERPILLAR FINANCIAL SERVICES	400,000	404,648	402,476	06-Sep-16	1.00%	
CATERPILLAR FINANCIAL SERVICES	121,000	120,901	119,462	24-Nov-23	4.00%	
CATERPILLAR INC	200,000	244,858	210,742	15-Sep-35	5.00%	
CATERPILLAR INC	2,975,000	2,652,936	2,501,737	15-Aug-42	4.00%	
CATHOLIC HEALTH INITIATIVES	1,400,000	1,241,114	1,214,500	01-Nov-42	4.00%	
CBRE SERVICES INC	180,000	180,000	173,025	15-Mar-23	5.00%	
CBS CORP	345,000	474,185	429,242	30-Jul-30	8.00%	
CC HOLDINGS GS V LLC / CROWN C	310,000	315,366	290,191	15-Apr-23	4.00%	
CCO HOLDINGS LLC / CCO HO 144A	235,000	222,775	222,663	01-Sep-23	6.00%	
CCO HOLDINGS LLC / CCO HOLDING	95,000	106,400	103,075	30-Apr-20	8.00%	
CCO HOLDINGS LLC / CCO HOLDING	25,000	27,250	26,469	30-Oct-17	7.00%	
CCO HOLDINGS LLC / CCO HOLDING	255,000	283,050	276,038	01-Jun-20	7.00%	
CCO HOLDINGS LLC / CCO HOLDING	45,000	41,175	42,019	30-Sep-22	5.00%	
CCO HOLDINGS LLC / CCO HOLDING	850,000	823,750	803,250	15-Jan-24	6.00%	
CENOVUS ENERGY INC	100,000	131,378	117,212	15-Nov-39	7.00%	
CENOVUS ENERGY INC	190,000	197,541	171,086	15-Sep-42	4.00%	
CENTERPOINT ENERGY HOUSTON ELE	110,000	142,585	141,314	15-Mar-33	7.00%	
CENTERPOINT ENERGY HOUSTON ELE	265,000	380,378	349,509	15-Mar-21	9.00%	
CENTURY ALUMINUM CO 144A	128,000	126,121	124,800	01-Jun-21	8.00%	
CENTURYLINK INC	115,000	119,370	102,350	15-Sep-39	8.00%	
CENTURYLINK INC	35,000	34,125	35,613	01-Apr-20	6.00%	
CENVEO CORP	275,000	232,719	270,875	15-May-17	12.00%	
CHARIOT FDG LLC DISC	1,100,000	1,097,525	1,097,525	14-Mar-14		
CHARTA LLC DISC	1,200,000	1,197,690	1,197,690	04-Mar-14		
CHASE ISSUANCE TRUST A2 A2	330,000	330,000	329,812	RT	VAR	
CHC HELICOPTER SA	550,000	573,875	592,625	15-Oct-20	9.00%	
CHC HELICOPTER SA	210,000	210,000	215,250	01-Jun-21	9.00%	
CHESAPEAKE ENERGY CORP	230,000	249,263	259,900	15-Nov-20	7.00%	
CHESAPEAKE ENERGY CORP	35,000	37,538	39,113	15-Aug-20	7.00%	
CHEVRON CORP	670,000	670,000	643,167	24-Jun-23	3.00%	
CHRYSLER C A R T 13-AA A2 144A	455,000	454,989	455,137	15-Nov-16	1.00%	
CIE GENERALE DE GEOPHYSIQUE -	300,000	321,000	307,500	01-Jun-21	7.00%	
CIESCO LLC DISC	1,465,000	1,462,013	1,462,013	07-Feb-14		
CIGNA CORP	510,000	593,778	530,247	15-Feb-42	5.00%	
CISCO SYSTEMS INC	670,000	871,972	744,893	15-Feb-39	6.00%	
CISCO SYSTEMS INC	1,495,000	1,812,765	1,581,755	15-Jan-40	6.00%	
CISCO SYSTEMS INC	400,000	401,088	400,260	RT	VAR	
CIT EQUIPMENT COLL VT1 A2 144A	385,000	384,976	384,892	21-Mar-16	1.00%	
CIT GROUP INC 144A	130,000	134,550	131,300	01-Apr-14	5.00%	
CITGO PETROLEUM CORP 144A	130,000	150,150	142,350	01-Jul-17	12.00%	
CITIBANK CREDIT CARD ISS A3 A3	115,000	152,637	128,746	15-Jun-39	6.00%	
CITIGROUP INC	280,000	309,394	311,539	15-Jun-32	7.00%	
CITIGROUP INC	47,000	52,121	50,900	11-Dec-34	6.00%	
CITIGROUP INC	650,000	734,822	693,011	25-Aug-36	6.00%	
CITIGROUP INC	164,000	179,780	178,998	29-May-37	6.00%	

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CITIGROUP INC	543,000	714,838	667,727	05-Mar-38	7.00%	
CITIGROUP INC	228,000	306,578	292,203	22-May-19	9.00%	
CITIGROUP INC	2,680,000	3,850,098	3,759,209	15-Jul-39	8.00%	
CITIGROUP INC	22,000	27,151	24,725	30-Jan-42	6.00%	
CITIGROUP INC	2,000,000	1,919,140	1,901,020	01-Mar-23	3.00%	
CITIGROUP INC	79,000	79,000	90,900	13-Sep-43	7.00%	
CITIGROUP INC	1,240,000	1,224,054	1,218,994	25-Oct-23	4.00%	
CITIGROUP INC	100,000	124,879	116,260	01-Dec-25	7.00%	
CLEAN HARBORS INC	65,000	67,763	66,950	01-Aug-20	5.00%	
CLEAN HARBORS INC	100,000	103,500	101,000	01-Jun-21	5.00%	
CLEAR CHANNEL COMMUNICATIONS I	90,000	90,000	96,750	01-Mar-21	11.00%	
CLEAR CHANNEL COMMUNICATIONS I	380,000	384,275	383,800	01-Mar-21	9.00%	
CLEAR CHANNEL WORLDWIDE HOLDIN	205,000	210,638	207,819	15-Nov-22	7.00%	
CLEAR CHANNEL WORLDWIDE HOLDIN	485,000	503,188	495,306	15-Nov-22	7.00%	
CME GROUP INC/IL	96,000	95,827	100,468	15-Sep-43	5.00%	
CNA FINANCIAL CORP	94,000	110,901	107,163	15-Aug-20	6.00%	
CNG HOLDINGS INC/OH 144A	255,000	258,825	234,600	15-May-20	9.00%	
CNH EQUIPMENT TRUST 2013- A A2	230,000	229,979	229,986	15-Jul-16	0.00%	
COCA-COLA CO/THE	400,000	399,892	400,020	14-Mar-14	VAR	
COLLATERALIZED CP DISC	1,000,000	998,823	998,823	27-Mar-13		
COMCAST CABLE COMMUNICATIONS H	435,000	657,659	602,510	15-Nov-22	9.00%	
COMCAST CABLE HOLDINGS LLC	235,000	343,243	318,594	15-Apr-22	10.00%	
COMCAST CORP	880,000	1,129,084	1,026,432	15-Nov-35	7.00%	
COMCAST CORP	150,000	189,863	174,081	15-Mar-37	6.00%	
COMCAST CORP	135,000	183,069	165,956	15-Aug-37	7.00%	
COMCAST CORP	945,000	1,204,093	1,091,239	15-May-38	6.00%	
COMCAST CORP	2,545,000	3,194,199	2,936,599	01-Mar-40	6.00%	
COMCAST CORP	3,700,000	3,609,194	3,421,057	15-Jan-23	3.00%	
COMCAST CORP	2,570,000	2,451,986	2,387,324	15-Jan-33	4.00%	
COMMONWEALTH EDISON CO	190,000	220,848	217,066	15-Mar-36	6.00%	
COMMONWEALTH EDISON CO	275,000	334,681	332,822	15-Jan-38	6.00%	
COMMONWEALTH EDISON CO	241,000	236,602	205,462	01-Oct-42	4.00%	
COMMONWEALTH EDISON CO	1,385,000	1,381,870	1,342,481	15-Aug-43	5.00%	
COMMUNITY CHOICE FINANCIAL INC	130,000	125,125	108,875	01-May-19	11.00%	
CONAGRA FOODS INC	60,000	76,752	71,742	01-Oct-26	7.00%	
CONAGRA FOODS INC	114,000	113,835	104,733	25-Jan-43	5.00%	
CONCORD MINUTEMEN DISC	2,000,000	1,997,414	1,997,414	02-May-14		
CONNECTICUT LIGHT & POWER CO/T	75,000	99,911	90,326	01-Jun-36	6.00%	
CONOCO FUNDING CO	180,000	246,454	232,463	15-Oct-31	7.00%	
CONOCOPHILLIPS	1,690,000	2,126,935	1,983,671	15-May-38	6.00%	
CONOCOPHILLIPS	460,000	652,344	576,849	01-Feb-39	7.00%	
CONOCOPHILLIPS CANADA FUNDING	835,000	973,752	974,144	15-Oct-36	6.00%	
CONOCOPHILLIPS HOLDING CO	690,000	961,977	873,112	15-Apr-29	7.00%	
CONSOLIDATED EDISON CO OF NEW	1,490,000	1,637,632	1,599,590	01-Mar-35	5.00%	
CONSOLIDATED EDISON CO OF NEW	255,000	324,778	291,493	15-Mar-36	6.00%	
CONSOLIDATED EDISON CO OF NEW	1,225,000	1,583,292	1,483,867	15-Aug-37	6.00%	
CONSOLIDATED EDISON CO OF NEW	390,000	484,076	430,533	01-Dec-39	6.00%	
CONSOLIDATED EDISON CO OF NEW	400,000	397,216	352,916	01-Mar-43	4.00%	
CONSUMERS ENERGY CO	1,200,000	1,199,388	1,168,104	15-Aug-23	3.00%	
CONTINENTAL AIRLINES 1999-2 CL	47,163	51,644	52,469	15-Sep-21	7.00%	
CONVATEC HEALTHCARE E SA 144A	250,000	275,625	280,938	15-Dec-18	11.00%	
COOPERATIEVE CENTRALE RAI 144A	240,000	278,126	240,187	30-Sep-39	6.00%	
COOPERATIEVE CENTRALE RAIFFEIS	525,000	516,227	556,547	01-Dec-43	6.00%	
COOPERATIEVE CENTRALE RAIFFEIS	410,000	410,517	410,443	RT	VAR	
COOPERATIEVE CENTRALE RAIFFEIS	250,000	256,008	242,248	09-Nov-22	4.00%	
COOPERATIEVE CENTRALE RAIFFEIS	655,000	655,000	657,450	RT	VAR	
COUNTRYWIDE ASSET-BACKED 5 AF5	485,496	507,752	502,008	RT	VAR	
COVANTA HOLDING CORP	130,000	143,234	141,920	01-Dec-20	7.00%	
COVIDIEN INTERNATIONAL FINANCE	355,000	496,198	435,851	15-Oct-37	7.00%	

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COX COMMUNICATIONS INC 144A	310,000	475,742	375,959	01-Mar-39	8.00%	
COX ENTERPRISES INC	270,000	340,313	313,481	15-Jul-27	7.00%	
CRC FDG LLC DISC	1,250,000	1,248,492	1,248,492	03-Jun-14		
CREDIT AGRICOLE DISC	1,300,000	1,295,369	1,295,369	02-Sep-14		
CRESTWOOD MIDSTREAM PARTN 144A	240,000	244,200	246,000	01-Mar-22	6.00%	
CROWN POINT CAP DISC	2,000,000	1,997,414	1,997,414	02-May-14		
CSX CORP	275,000	354,934	310,882	30-Apr-40	6.00%	
CSX CORP	105,000	125,809	110,426	15-Apr-41	6.00%	
CVS CAREMARK CORP	370,000	473,511	419,624	15-Sep-39	6.00%	
CVS PASS-THROUGH TRUST 144A	68,763	83,091	74,942	10-Jan-34	6.00%	
CVS PASS-THROUGH TRUST 144A	534,919	737,563	670,570	10-Jul-31	8.00%	
DAIMLER FINANCE NORTH AME 144A	185,000	185,000	185,620	09-Jan-15	VAR	
DAIMLER FINANCE NORTH AME 144A	535,000	533,673	533,818	01-Aug-18	2.00%	
DAIMLER FINANCE NORTH AMERICA	1,280,000	1,951,522	1,858,470	18-Jan-31	9.00%	
DARLING ESCROW CORP 144A	145,000	145,000	146,088	15-Jan-22	5.00%	
DEERE & CO	145,000	206,067	186,403	03-Mar-31	7.00%	
DEERE & CO	542,000	501,778	475,518	09-Jun-42	4.00%	
DENALI BORROWER LLC / DEN 144A	400,000	394,469	396,500	15-Oct-20	6.00%	
DEUTSCHE TELEKOM INTERNATIONAL	345,000	503,396	486,719	15-Jun-30	VAR	
DEVON ENERGY CORP	90,000	96,283	83,458	15-May-42	5.00%	
DEVON ENERGY CORP	210,000	310,687	273,309	15-Apr-32	8.00%	
DEVON FINANCING CORP LLC	150,000	218,163	192,930	30-Sep-31	8.00%	
DIAGEO CAPITAL PLC	580,000	665,840	666,124	30-Sep-36	6.00%	
DIAGEO CAPITAL PLC	1,650,000	1,522,208	1,419,231	29-Apr-43	4.00%	
DIAGEO INVESTMENT CORP	325,000	475,998	423,703	15-Apr-35	7.00%	
DIAMOND OFFSHORE DRILLING INC	243,000	242,621	238,492	01-Nov-43	5.00%	
DIAMOND RESORTS CORP	354,000	383,205	391,170	15-Aug-18	12.00%	
DIGITALGLOBE INC 144A	100,000	98,206	97,500	01-Feb-21	5.00%	
DIRECTV HOLDINGS LLC / DIRECTV	390,000	432,736	385,125	15-Aug-40	6.00%	
DIRECTV HOLDINGS LLC / DIRECTV	282,000	326,336	292,395	01-Mar-41	6.00%	
DIRECTV HOLDINGS LLC / DIRECTV	1,055,000	991,741	947,496	15-Mar-42	5.00%	
DISCOVER BANK/GREENWOOD DE	1,000,000	996,120	986,310	08-Aug-23	4.00%	
DISCOVERY COMMUNICATIONS LLC	260,000	321,344	287,672	01-Jun-40	6.00%	
DISCOVERY COMMUNICATIONS LLC	42,000	41,953	38,745	01-Apr-43	5.00%	
DISH DBS CORP	190,000	225,150	217,550	01-Sep-19	8.00%	
DISH DBS CORP	690,000	722,256	690,000	15-Jul-22	6.00%	
DISH DBS CORP	500,000	479,313	466,250	15-Mar-23	5.00%	
DISH DBS CORP	160,000	162,863	160,400	01-May-20	5.00%	
DOMINION GAS HOLDINGS LLC 144A	335,000	334,203	323,891	01-Nov-43	5.00%	
DOMINION RESOURCES INC/VA	144,000	161,349	138,214	01-Aug-41	5.00%	
DOMINION RESOURCES INC/VA	230,000	262,221	242,588	01-Aug-33	5.00%	
DOW CHEMICAL CO/THE	885,000	1,176,293	1,137,322	01-Nov-29	7.00%	
DOW CHEMICAL CO/THE	32,000	35,690	31,882	15-Nov-41	5.00%	
DOWNSTREAM DEVELOPMENT AU 144A	355,000	379,619	358,550	01-Jul-19	11.00%	
DRYROCK ISSUANCE TRUST 1 A	500,000	500,180	499,625	15-Aug-17	VAR	
DTE ELECTRIC CO	535,000	532,587	476,166	01-Apr-43	4.00%	
DTE ELECTRIC CO	680,000	677,219	675,056	15-Mar-24	4.00%	
DTE ELECTRIC CO	125,000	168,716	156,205	01-Jun-36	7.00%	
DTE ELECTRIC CO	120,000	121,591	106,043	15-Jun-42	4.00%	
DTE ENERGY CO	84,000	83,820	82,935	01-Dec-23	4.00%	
DUCOMMUN INC	135,000	145,125	150,188	15-Jul-18	10.00%	
DUKE ENERGY CAROLINAS LLC	25,000	27,847	28,294	01-Dec-28	6.00%	
DUKE ENERGY CAROLINAS LLC	240,000	309,240	282,216	15-Oct-32	6.00%	
DUKE ENERGY CAROLINAS LLC	50,000	63,307	57,198	01-Jun-37	6.00%	
DUKE ENERGY CAROLINAS LLC	100,000	128,008	117,880	15-Jan-38	6.00%	
DUKE ENERGY CAROLINAS LLC	90,000	117,900	106,820	15-Apr-38	6.00%	
DUKE ENERGY CAROLINAS LLC	430,000	510,600	466,860	15-Feb-40	5.00%	
DUKE ENERGY CAROLINAS LLC	1,435,000	1,434,251	1,336,157	15-Dec-41	4.00%	
DUKE ENERGY FLORIDA INC	190,000	255,911	234,261	15-Jun-38	6.00%	

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DUKE ENERGY INDIANA INC	365,000	482,260	444,672	15-Aug-38	6.00%	
DUKE ENERGY INDIANA INC	420,000	418,097	435,053	15-Jul-43	5.00%	
DUKE ENERGY OHIO INC	3,227,000	3,267,785	3,225,387	01-Sep-23	4.00%	
DUKE ENERGY PROGRESS INC	73,000	71,250	67,410	15-May-42	4.00%	
DYNEGY INC 144A	571,000	567,725	539,595	01-Jun-23	6.00%	
E.ON INTERNATIONAL FINANCE BV	200,000	273,068	240,226	30-Apr-38	7.00%	
EATON CORP	79,000	81,252	72,554	02-Nov-32	4.00%	
EBAY INC	640,000	556,526	541,990	15-Jul-42	4.00%	
ECOLAB INC	540,000	631,739	578,270	08-Dec-41	6.00%	
EI DU PONT DE NEMOURS & CO	170,000	217,394	182,981	15-Dec-36	6.00%	
EI DU PONT DE NEMOURS & CO	195,000	231,268	192,268	15-Jan-41	5.00%	
EI DU PONT DE NEMOURS & CO	69,000	68,918	60,870	15-Feb-43	4.00%	
ELECTRICITE DE FRANCE SA 144A	1,240,000	1,223,390	1,233,180	29-Jan-49	VAR	
ELETSON HOLDINGS 144A	250,000	249,306	256,250	15-Jan-22	10.00%	
ELM ROAD GENERATING STATION SU	145,000	183,998	161,226	11-Feb-40	6.00%	
EMC CORP/MA	150,000	149,888	144,120	01-Jun-23	3.00%	
EMC CORP/MA	1,000,000	997,600	979,380	01-Jun-20	3.00%	
EMERSON ELECTRIC CO	165,000	214,223	187,100	15-Aug-32	6.00%	
ENCANA CORP	850,000	1,063,138	933,105	01-Feb-38	7.00%	
ENDO HEALTH SOLUTIONS INC	125,000	133,281	133,750	15-Dec-20	7.00%	
ENDO HEALTH SOLUTIONS INC	195,000	209,138	208,650	15-Jan-22	7.00%	
ENEL FINANCE INTERNATIONA 144A	300,000	317,058	320,295	07-Oct-19	5.00%	
ENEL FINANCE INTERNATIONA 144A	300,000	290,505	287,739	07-Oct-39	6.00%	
ENERGY TRANSFER PARTNERS LP	235,000	267,369	240,882	01-Jun-41	6.00%	
ENI SPA 144A	245,000	257,520	238,267	01-Oct-40	6.00%	
EPR PROPERTIES	495,000	513,270	504,677	15-Aug-22	6.00%	
EQT CORP	125,000	154,729	151,646	01-Jun-19	8.00%	
EQT CORP	200,000	214,708	205,102	15-Nov-21	5.00%	
ERAC USA FINANCE LLC	307,000	371,713	340,773	01-Jun-34	7.00%	
ERAC USA FINANCE LLC 144A	490,000	622,217	579,876	15-Oct-37	7.00%	
ERAC USA FINANCE LLC 144A	41,000	44,676	42,728	16-Aug-21	5.00%	
ERAC USA FINANCE LLC 144A	67,000	74,228	68,430	15-Mar-42	6.00%	
EXELON GENERATION CO LLC	223,000	247,465	213,605	01-Oct-41	6.00%	
FBG FINANCE LTD	385,000	472,129	421,248	15-Jun-35	6.00%	
FEDERAL HOME LN BK CONS BD	400,000	550,372	462,736	15-Jul-36	6.00%	
FEDERAL HOME LN BK CONS DISC	782,702	782,702	782,702	03-Jan-14	MAT	
FEDERAL HOME LN BK CONS DISC	472,062	472,061	472,061	06-Jan-10	MAT	
FEDERAL HOME LN BK CONS DISC	1,428,466	1,428,464	1,428,464	10-Jan-14	MAT	
FEDERAL HOME LN MTG CORP	175,000	175,070	175,254	25-Sep-15	1.00%	
FEDERAL HOME LN MTG CORP	655,000	655,000	655,531	18-Mar-15	0.00%	
FEDERAL HOME LN MTG CORP	400,000	400,000	400,448	29-Jul-16	1.00%	
FEDERAL HOME LN MTG CORP	355,000	357,293	356,534	29-Dec-14	1.00%	
FEDERAL NATL MTG ASSN	390,000	391,053	390,745	15-Jan-16	1.00%	
FEDERAL NATL MTG ASSN STRIP	1,000,000	815,830	770,310	15-Nov-21	0.00%	
FEDERAL NATL MTG ASSN STRIP PO	2,400,000	1,353,648	1,149,624	15-May-30	0.00%	
FEDERAL REALTY INVESTMENT TRUS	105,000	123,969	120,568	01-Apr-20	6.00%	
FHLMC POOL #C4-6008	3,518	4,100	3,920	01-Dec-30	7.00%	
FHLMC POOL #C9-0781	128,210	136,444	127,357	01-Oct-23	4.00%	
FHLMC MULTICLASS MTG 2141 PD	587,496	663,677	654,089	15-Apr-29	7.00%	
FHLMC MULTICLASS MTG 2176 OJ	94,122	108,432	107,328	15-Aug-29	7.00%	
FHLMC MULTICLASS MTG 2259 ZM	176,523	206,735	203,192	15-Oct-30	7.00%	
FHLMC MULTICLASS MTG 2344 ZD	178,513	196,036	191,785	15-Aug-31	7.00%	
FHLMC MULTICLASS MTG 2366 MD	48,568	51,541	51,018	15-Oct-16	6.00%	
FHLMC MULTICLASS MTG 2412 SP	37,840	52,853	51,636	15-Feb-32	VAR	
FHLMC MULTICLASS MTG 2953 LZ	1,688,249	2,078,095	1,933,619	15-Mar-35	6.00%	
FHLMC MULTICLASS MTG 2979 BS	300,000	511,239	527,670	15-May-35	VAR	
FHLMC MULTICLASS MTG 3117 EO	184,293	175,005	168,567	15-Feb-36	0.00%	
FHLMC MULTICLASS MTG 3201 OG	203,451	194,672	181,407	15-Aug-36	0.00%	
FHLMC MULTICLASS MTG 3211 SO	173,042	165,388	157,240	15-Sep-36	0.00%	

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FHLMC MULTICLASS MTG 3607 AO	261,400	246,608	238,849	15-Apr-36	0.00%	
FHLMC MULTICLASS MTG 3607 BO	104,560	98,643	95,540	15-Apr-36	0.00%	
FHLMC MULTICLASS MTG 3611 PO	135,403	129,172	123,092	15-Jul-34	0.00%	
FHLMC MULTICLASS MTG 3632 BS	500,000	790,870	708,150	15-Feb-40	VAR	
FHLMC MULTICLASS MTG 3841 JZ	562,590	650,669	588,317	15-Apr-41	5.00%	
FHLMC MULTICLASS MTG 4048 CE	1,000,000	1,117,100	926,050	15-May-42	4.00%	
FIFTH THIRD BANCORP	160,000	213,317	213,022	01-Mar-38	8.00%	
FIFTH THIRD BANK/CINCINNATI OH	710,000	710,000	711,874	18-Nov-16	VAR	
FIRST DATA CORP 144A	115,000	115,588	121,325	15-Aug-21	12.00%	
FIRST WIND CAPITAL LLC 144A	170,000	174,675	186,150	01-Jun-18	10.00%	
FLEXI-VAN LEASING INC 144A	65,000	64,667	68,900	15-Aug-18	8.00%	
FLORIDA POWER & LIGHT CO	580,000	722,182	682,915	01-Oct-33	6.00%	
FLORIDA POWER & LIGHT CO	290,000	367,503	326,563	01-Feb-37	6.00%	
FLORIDA POWER & LIGHT CO	175,000	202,652	202,095	01-May-37	6.00%	
FLORIDA POWER & LIGHT CO	300,000	374,781	351,546	01-Feb-38	6.00%	
FLORIDA POWER & LIGHT CO	1,685,000	1,918,398	1,809,623	01-Jun-41	5.00%	
FMG RESOURCES AUGUST 2006 144A	35,000	36,138	36,838	01-Feb-18	7.00%	
FMG RESOURCES AUGUST 2006 144A	540,000	571,950	606,150	01-Nov-19	8.00%	993
FMG RESOURCES AUGUST 2006 144A	290,000	296,788	316,100	01-Apr-22	7.00%	
FMR LLC 144A	250,000	311,715	285,390	15-Nov-39	6.00%	
FNMA POOL #0465714	467,455	537,671	484,919	01-Aug-28	5.00%	
FNMA POOL #0466430	500,000	548,445	516,550	01-Nov-20	3.00%	
FNMA POOL #0471795	993,165	1,037,977	959,010	01-Jul-22	3.00%	
FNMA POOL #0490445	77,703	86,643	87,252	01-Mar-29	6.00%	
FNMA POOL #0524958	3,495	3,532	3,505	01-Mar-15	8.00%	
FNMA POOL #0888829	912,293	1,073,158	1,015,209	01-Jun-37	6.00%	
FNMA POOL #0AM1778	500,000	510,905	469,740	01-Dec-22	2.00%	
FNMA POOL #0AM2366	500,000	502,813	468,245	01-Feb-23	2.00%	
FNMA POOL #0AM2747	1,000,000	1,000,625	917,810	01-Apr-23	3.00%	
FNMA GTD REMIC P/T 01-44 PU	89,813	105,248	103,158	25-Sep-31	7.00%	
FNMA GTD REMIC P/T 03-35 EA	109,351	103,140	90,495	25-May-33	0.00%	
FNMA GTD REMIC P/T 03-35 SW	52,030	71,540	69,582	25-May-33	VAR	
FNMA GTD REMIC P/T 03-69 NS	95,352	112,425	113,358	25-Jul-33	VAR	
FNMA GTD REMIC P/T 03-W2 2A9	451,312	528,983	497,820	25-Jul-42	6.00%	
FNMA GTD REMIC P/T 04-W10 A6	1,000,000	1,108,780	999,150	25-Aug-34	6.00%	
FNMA GTD REMIC P/T 05-59 SU	350,000	618,254	551,054	25-Jun-35	VAR	
FNMA GTD REMIC P/T 06-53 WE	1,000,000	1,210,260	1,109,540	25-Jun-36	6.00%	
FNMA GTD REMIC P/T 06-69 DZ	1,327,422	1,618,280	1,525,380	25-Aug-36	7.00%	
FNMA GTD REMIC P/T 06-79 PL	1,000,000	1,272,390	1,147,660	25-Aug-36	7.00%	
FNMA GTD REMIC P/T 07-32 Z	1,737,980	1,990,564	1,874,533	25-Apr-37	6.00%	
FNMA GTD REMIC P/T 09-50 GX	400,000	468,160	419,556	25-Jul-39	5.00%	
FNMA GTD REMIC P/T 09-84 WS	200,921	22,288	24,930	25-Oct-39	VAR	
FNMA GTD REMIC P/T 09-99 SC	147,546	21,047	17,945	25-Dec-39	VAR	
FNMA GTD REMIC P/T 10-122 CJ	506,823	515,845	451,681	25-Nov-40	3.00%	
FNMA GTD REMIC P/T 10-2 LC	350,000	409,640	370,048	25-Feb-40	5.00%	
FNMA GTD REMIC P/T 10-35 SJ	500,000	758,220	707,610	25-Apr-40	VAR	
FNMA GTD REMIC P/T 10-41 NB	500,000	542,535	528,515	25-May-40	5.00%	
FNMA GTD REMIC P/T 10-60 WZ	476,737	556,384	473,100	25-Jun-40	6.00%	
FNMA GTD REMIC P/T 10-80 PZ	1,548,057	1,792,115	1,600,939	25-Jul-40	5.00%	
FNMA GTD REMIC P/T 11-111 PZ	330,663	368,129	317,569	25-Nov-41	5.00%	
FNMA GTD REMIC P/T 11-84 PZ	565,009	696,784	610,136	25-Sep-41	5.00%	
FNMA GTD REMIC P/T 329 1	18,055	17,187	16,308	01-Jan-33	0.00%	
FORD CREDIT AUTO OWNER TR A A2	134,821	134,810	134,793	15-Nov-15	0.00%	
FORD CREDIT AUTO OWNER TR D A2	125,534	125,528	125,549	15-Sep-15	0.00%	
FORD MOTOR CO	135,000	155,250	148,527	01-Feb-29	6.00%	
FORD MOTOR CO	720,000	912,991	881,762	16-Jul-31	7.00%	
FORUM ENERGY TECHNOLOGIES 144A	238,000	239,885	249,900	01-Oct-21	6.00%	
FRANCE TELECOM SA	205,000	306,858	283,037	01-Mar-31	VAR	
FREEMPORT-MCMORAN COPPER & GOLD	1,901,000	1,838,403	1,819,333	15-Mar-43	5.00%	

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GAP INC/THE	124,000	141,861	137,016	12-Apr-21	6.00%	
GE EQUIPMENT TRANSPORTATI 1 A2	395,454	395,439	395,288	24-Nov-15	1.00%	
GENERAL DYNAMICS CORP	131,000	126,022	107,017	15-Nov-42	4.00%	
GENERAL ELECTRIC CAPITAL CORP	7,604,000	9,336,506	9,416,109	15-Mar-32	7.00%	
GENERAL ELECTRIC CAPITAL CORP	600,000	745,920	700,008	07-Aug-37	6.00%	
GENERAL ELECTRIC CAPITAL CORP	3,805,000	4,498,177	4,334,314	14-Jan-38	6.00%	
GENERAL ELECTRIC CAPITAL CORP	1,585,000	2,154,491	2,037,676	10-Jan-39	7.00%	
GENERAL ELECTRIC CAPITAL CORP	3,200,000	3,503,683	3,486,240	17-Oct-21	5.00%	
GENERAL ELECTRIC CAPITAL CORP	465,000	468,385	466,074	24-Apr-14	VAR	
GENERAL ELECTRIC CAPITAL CORP	225,000	225,000	226,352	08-Jan-16	VAR	
GENERAL ELECTRIC CAPITAL CORP	14,000	16,251	15,661	11-Feb-21	5.00%	
GENERAL ELECTRIC CO	2,215,000	2,229,180	2,046,350	09-Oct-42	4.00%	
GENERAL MOTORS CO 144A	555,000	555,000	567,488	02-Oct-18	4.00%	
GENERAL MOTORS CO 144A	365,000	365,000	379,144	02-Oct-43	6.00%	
GENON ENERGY INC	380,000	448,400	430,350	15-Oct-18	10.00%	
GENON ENERGY INC	80,000	92,400	88,800	15-Oct-20	10.00%	2
GENWORTH HOLDINGS INC	505,000	504,470	498,819	15-Feb-24	5.00%	
GENWORTH HOLDINGS INC	105,000	77,963	92,925	15-Nov-66	VAR	
GEORGIA POWER CO	675,000	707,987	607,237	15-Mar-42	4.00%	
GIBSON BRANDS INC 144A	115,000	116,619	121,325	01-Aug-18	9.00%	
GLAXOSMITHKLINE CAPITAL INC	2,195,000	2,798,694	2,686,570	15-May-38	6.00%	
GLAXOSMITHKLINE CAPITAL INC	710,000	708,510	649,146	18-Mar-43	4.00%	1
GLP CAPITAL LP / GLP FINA 144A	275,000	277,063	281,188	01-Nov-18	4.00%	
GLP CAPITAL LP / GLP FINA 144A	575,000	577,875	575,000	01-Nov-20	5.00%	
GLP CAPITAL LP / GLP FINA 144A	345,000	346,725	338,963	01-Nov-23	5.00%	
GNMA GTD REMIC P/T 02-45 QE	44,359	51,633	50,523	20-Jun-32	7.00%	
GNMA GTD REMIC P/T 03-67 FO	500,000	430,680	361,400	20-Aug-33	0.00%	
GNMA GTD REMIC P/T 05-45 ZA	914,747	1,140,470	978,916	16-Jun-35	6.00%	
GNMA GTD REMIC P/T 05-92 PB	1,200,000	1,478,220	1,351,764	20-Dec-35	6.00%	
GNMA GTD REMIC P/T 07-28 BO	65,596	62,450	56,459	20-May-37	0.00%	
GNMA GTD REMIC P/T 07-71 SB	124,198	13,626	14,559	20-Jul-36	VAR	
GNMA GTD REMIC P/T 09-1 KS	299,918	422,156	377,666	20-Nov-34	VAR	
GNMA GTD REMIC P/T 09-10 SL	447,850	50,338	46,675	16-Mar-34	VAR	
GNMA GTD REMIC P/T 09-32 ZA	186,005	215,399	180,102	20-May-39	6.00%	
GNMA GTD REMIC P/T 09-61 ZQ	777,171	952,936	821,135	16-Aug-39	6.00%	
GNMA GTD REMIC P/T 09-67 ZC	1,268,441	1,534,279	1,410,760	16-Aug-39	6.00%	
GNMA GTD REMIC P/T 09-79 OK	176,470	166,917	152,008	16-Nov-37	0.00%	
GNMA GTD REMIC P/T 10-14 CO	399,912	375,310	335,214	20-Aug-35	0.00%	
GNMA GTD REMIC P/T 10-42 VZ	733,726	869,073	812,455	20-Oct-39	6.00%	
GNMA GTD REMIC P/T 11-50 PZ	456,926	546,289	458,114	20-Apr-41	5.00%	
GOLDEN NUGGET ESCROW INC 144A	220,000	220,000	222,200	01-Dec-21	9.00%	
GOLDMAN SACHS GROUP INC/THE	333,000	381,628	370,339	15-Mar-20	5.00%	
GOLDMAN SACHS GROUP INC/THE	680,000	750,901	764,891	15-Feb-33	6.00%	
GOLDMAN SACHS GROUP INC/THE	1,890,000	2,144,573	2,102,720	01-Oct-37	7.00%	
GOLDMAN SACHS GROUP INC/THE	430,000	529,943	495,532	01-Feb-41	6.00%	
GOLDMAN SACHS GROUP INC/THE	54,000	61,559	59,121	27-Jul-21	5.00%	
GOLDMAN SACHS GROUP INC/THE	635,000	685,389	714,813	24-Jan-22	6.00%	
GOLDMAN SACHS GROUP INC/THE	730,000	713,356	706,896	22-Jan-23	4.00%	
GOTHAM FDG CORP DISC	2,225,000	2,223,999	2,223,999	12-Feb-14		
GRAFTECH INTERNATIONAL LTD	120,000	124,350	123,000	15-Nov-20	6.00%	
GREAT PLAINS ENERGY INC	22,000	24,238	23,180	01-Jun-21	5.00%	
GRUPO TELEVISA SAB	200,000	255,158	212,388	15-Jan-40	7.00%	
HALCON RESOURCES CORP	315,000	330,975	328,388	15-Jul-20	10.00%	
HALCON RESOURCES CORP	735,000	762,281	742,350	15-May-21	9.00%	
HALCON RESOURCES CORP 144A	75,000	75,188	76,313	15-Feb-22	9.00%	
HALCON RESOURCES CORP 144A	195,000	202,388	203,044	15-Jul-20	10.00%	
HALLIBURTON CO	360,000	510,163	466,121	15-Feb-21	9.00%	
HALLIBURTON CO	105,000	146,557	129,375	15-Sep-38	7.00%	
HALLIBURTON CO	740,000	1,028,015	995,981	15-Sep-39	7.00%	

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HALLIBURTON CO	100,000	101,686	95,045	15-Nov-41	5.00%	
HALLIBURTON CO	2,850,000	2,857,613	2,798,843	01-Aug-43	5.00%	
HALLIBURTON CO 144A	45,000	68,099	59,596	15-Aug-96	8.00%	
HARLAND CLARKE HOLDINGS C 144A	564,000	570,360	611,235	01-Aug-18	10.00%	
HARLEY-DAVIDSON MOTORCYCL 1 A2	421,971	421,946	421,988	15-Aug-16	0.00%	
HAWK ACQUISITION SUB INC 144A	1,155,000	1,155,000	1,117,463	15-Oct-20	4.00%	
HCP INC	177,000	229,125	209,510	01-Feb-41	7.00%	
HECKMANN CORP	660,000	661,363	643,500	15-Apr-18	10.00%	
HEINEKEN NV 144A	63,000	60,931	53,064	01-Oct-42	4.00%	
HERCULES OFFSHORE INC 144A	225,000	235,688	239,344	01-Apr-17	7.00%	
HERCULES OFFSHORE INC 144A	130,000	130,000	144,950	15-Jul-21	9.00%	
HERCULES OFFSHORE INC 144A	390,000	390,825	413,400	01-Oct-21	8.00%	
HESS CORP	439,000	610,381	559,457	01-Oct-29	8.00%	
HESS CORP	135,000	159,662	140,686	15-Feb-41	6.00%	
HISTORIC TW INC	285,000	420,865	377,933	01-Feb-23	9.00%	
HOME DEPOT INC/THE	875,000	1,149,925	1,009,663	16-Dec-36	6.00%	
HOME DEPOT INC/THE	2,960,000	2,844,370	2,697,448	01-Apr-43	4.00%	
HOME DEPOT INC/THE	1,682,000	1,712,735	1,703,143	15-Feb-44	5.00%	
HONDA AUTO RECEIVABLES 20 2 A2	7,660	7,670	7,661	17-Nov-14	1.00%	
HONDA AUTO RECEIVABLES OW 3 A2	147,000	146,998	147,148	15-Jan-16	1.00%	
HONEYWELL INTERNATIONAL INC	120,000	158,054	135,642	15-Mar-37	6.00%	
HONEYWELL INTERNATIONAL INC	270,000	309,871	296,681	01-Mar-41	5.00%	
HONEYWELL INTERNATIONAL INC	334,000	331,943	326,923	01-Dec-23	3.00%	
HORNBECK OFFSHORE SERVICES INC	205,000	203,500	200,900	01-Mar-21	5.00%	
HOWARD HUGHES CORP/THE 144A	540,000	547,813	561,600	01-Oct-21	7.00%	
HP ENTERPRISE SERVICES LLC	205,000	240,369	230,650	15-Oct-29	7.00%	
HSBC HOLDINGS PLC	2,185,000	2,675,739	2,584,287	15-Sep-37	7.00%	
HSBC HOLDINGS PLC	2,610,000	3,230,536	3,210,692	01-Jun-38	7.00%	
HSBC HOLDINGS PLC	200,000	236,176	222,290	05-Apr-21	5.00%	
HSBC HOLDINGS PLC	265,000	332,519	315,702	14-Jan-42	6.00%	
HSBC HOLDINGS PLC	3,890,000	4,015,642	3,998,337	30-Mar-22	4.00%	
HSBC USA INC	605,000	603,959	615,212	24-Sep-18	3.00%	
HUGHES SATELLITE SYSTEMS CORP	155,000	176,313	172,825	15-Jun-21	8.00%	
HUNTSMAN INTERNATIONAL LLC	110,000	124,575	121,688	15-Mar-20	9.00%	
HUNTSMAN INTERNATIONAL LLC	45,000	51,413	50,850	15-Mar-21	9.00%	
HYUNDAI AUTO LEASE S A A2 144A	382,690	382,678	382,774	15-Sep-15	1.00%	
HYUNDAI AUTO RECEIVABLES B A2	355,000	354,998	355,206	15-Mar-16	1.00%	
ICAHN ENTERPRISES LP / IC 144A	215,000	215,000	221,450	01-Aug-20	6.00%	
ILFC E-CAPITAL TRUST I 144A	250,000	189,675	228,750	21-Dec-65	VAR	
ILFC E-CAPITAL TRUST II	100,000	85,500	94,500	21-Dec-65	VAR	
ILLINOIS TOOL WORKS INC	248,000	254,820	212,228	01-Sep-42	4.00%	
ING (US) FUNDING DISC	1,400,000	1,397,936	1,397,936	07-May-14		
ING US INC	855,000	899,007	893,304	15-Jul-43	6.00%	
INGERSOLL-RAND GLOBAL HOL 144A	728,000	725,015	738,898	15-Jun-43	6.00%	
INMET MINING CORP 144A	465,000	508,013	504,525	01-Jun-20	9.00%	
INTEL CORP	307,000	337,887	299,396	01-Oct-41	5.00%	
INTEL CORP	2,051,000	1,976,444	1,890,345	15-Dec-32	4.00%	
INTELSAT JACKSON HOLDINGS SA	200,000	220,500	220,500	01-Apr-21	8.00%	
INTERNATIONAL BUSINESS MACHINE	125,000	146,916	144,203	29-Nov-32	6.00%	
INTERNATIONAL BUSINESS MACHINE	29,000	37,375	32,441	30-Nov-39	6.00%	
INTERNATIONAL BUSINESS MACHINE	940,000	994,868	839,345	20-Jun-42	4.00%	
INTERNATIONAL BUSINESS MACHINE	2,790,000	2,742,786	2,616,267	15-May-20	2.00%	
INTERNATIONAL BUSINESS MACHINE	1,000,000	996,800	974,300	01-Aug-23	3.00%	
INTERNATIONAL LEASE FINANCE CO	170,000	181,050	184,025	15-May-19	6.00%	
INVESCO FINANCE PLC	150,000	147,447	151,328	30-Nov-43	5.00%	
ISRAEL ST AID	200,000	269,470	233,122	18-Sep-33	6.00%	
ISRAEL ST AID	300,000	214,386	196,869	01-Nov-24	0.00%	
J2 GLOBAL INC	330,000	343,200	356,400	01-Aug-20	8.00%	
JEFFERIES FINANCE LLC / J 144A	215,000	219,300	223,600	01-Apr-20	7.00%	

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
JEFFERIES GROUP LLC	320,000	331,200	308,800	15-Jan-36	6.00%	
JEFFERIES GROUP LLC	290,000	308,850	301,330	08-Jun-27	6.00%	
JEFFERIES GROUP LLC	30,000	35,850	36,600	15-Jul-19	9.00%	
JMC STEEL GROUP INC 144A	270,000	282,150	272,700	15-Mar-18	8.00%	
JOHN DEERE CAPITAL CORP	230,000	230,389	230,150	16-Jun-14	VAR	
JOHN SEVIER COMBINED CYCLE GEN	179,438	205,365	175,759	15-Jan-42	5.00%	
JOHNSON & JOHNSON	1,446,000	1,437,801	1,455,413	05-Dec-33	4.00%	
JOHNSON CONTROLS INC	265,000	315,074	284,806	15-Jan-36	6.00%	
JOHNSON CONTROLS INC	35,000	42,148	36,307	01-Mar-41	6.00%	
JPMORGAN CHASE & CO	2,060,000	1,956,838	1,919,920	01-May-23	3.00%	
JPMORGAN CHASE & CO	325,000	325,000	326,336	26-Feb-16	VAR	
JPMORGAN CHASE & CO	2,950,000	3,638,444	3,520,825	15-May-38	6.00%	
JPMORGAN CHASE & CO	5,000	6,192	5,426	15-Jul-41	6.00%	
JPMORGAN CHASE & CO	1,050,000	1,115,436	1,106,616	15-Aug-21	4.00%	
KANSAS CITY POWER & LIGHT CO	465,000	535,029	465,302	01-Oct-41	5.00%	
KB HOME	190,000	220,875	222,775	15-Sep-17	9.00%	
KELLOGG CO	171,000	235,833	215,689	01-Apr-31	7.00%	
KENTUCKY UTILITIES CO	256,000	254,157	254,966	15-Nov-43	5.00%	
KERR-MCGEE CORP	75,000	99,624	93,851	15-Sep-31	8.00%	
KEYSPAN GAS EAST CORP 144A	490,000	618,169	549,721	01-Apr-41	6.00%	
KIMBERLY-CLARK CORP	1,725,000	1,653,122	1,447,931	01-Jun-43	4.00%	
KINDER MORGAN ENERGY PARTNERS	515,000	632,956	564,610	01-Sep-39	7.00%	
KINDER MORGAN ENERGY PARTNERS	160,000	200,509	176,762	15-Sep-40	7.00%	
KINETIC CONCEPTS INC / KCI USA	280,000	293,650	322,000	01-Nov-18	VAR	
KONINKLIJKE PHILIPS ELECTRONIC	80,000	108,243	97,216	11-Mar-38	7.00%	
KONINKLIJKE PHILIPS ELECTRONIC	330,000	333,604	327,674	15-Mar-42	5.00%	
KONINKLIJKE PHILIPS ELECTRONIC	35,000	46,554	41,675	01-Jun-26	7.00%	
KRAFT FOODS GROUP INC	90,000	101,205	88,721	04-Jun-42	5.00%	
KRAFT FOODS GROUP INC	345,000	453,454	402,339	09-Feb-40	7.00%	
KRAFT FOODS GROUP INC	600,000	807,816	730,704	26-Jan-39	7.00%	
KROGER CO/THE	145,000	188,974	177,941	01-Jun-29	8.00%	
KROGER CO/THE	10,000	12,977	12,139	01-Apr-31	8.00%	
KROGER CO/THE	100,000	121,850	113,974	15-Jan-20	6.00%	
KROGER CO/THE	85,000	109,571	98,999	15-Apr-38	7.00%	
KROGER CO/THE	37,000	41,013	36,614	15-Jul-40	5.00%	
KROGER CO/THE	135,000	144,144	128,805	15-Apr-42	5.00%	
KROGER CO/THE	125,000	124,581	121,938	01-Aug-43	5.00%	
L BRANDS INC	110,000	126,500	123,475	01-May-20	7.00%	
LANDESBANK HSN-TH DISC	1,500,000	1,497,775	1,497,775	12-May-14		
LANDRY'S INC 144A	130,000	141,375	141,700	01-May-20	9.00%	
LEVEL 3 FINANCING INC	215,000	240,263	240,531	01-Apr-19	9.00%	
LEVEL 3 FINANCING INC	175,000	194,250	196,000	15-Jul-20	9.00%	
LEVEL 3 FINANCING INC	360,000	392,400	394,200	01-Jul-19	8.00%	
LEVEL 3 FINANCING INC 144A	770,000	780,194	777,700	15-Jan-21	6.00%	
LIBBEY GLASS INC	270,000	290,250	291,600	15-May-20	7.00%	
LIBERTY MUTUAL GROUP INC 144A	144,000	162,006	158,033	01-May-42	7.00%	
LIBERTY ST FDG DISC	2,000,000	1,999,999	1,999,999	02-Jan-14		
LINCOLN NATIONAL CORP	340,000	442,524	425,976	15-Jun-40	7.00%	
LINCOLN NATIONAL CORP	17,000	19,073	18,260	24-Jun-21	5.00%	
LINN ENERGY LLC / LINN ENERGY	330,000	359,700	356,400	15-Apr-20	9.00%	
LINN ENERGY LLC / LINN ENERGY	150,000	151,500	153,000	15-May-19	7.00%	
LIVE NATION ENTERTAINMENT 144A	140,000	146,125	151,900	01-Sep-20	7.00%	
LOCKHEED MARTIN CORP	3,697,000	3,385,896	3,232,694	15-Dec-42	4.00%	
LOUISVILLE GAS & ELECTRIC CO	1,091,000	1,083,145	1,083,123	15-Nov-43	5.00%	
LOWE'S COS INC	380,000	513,099	468,878	15-May-37	7.00%	
LOWE'S COS INC	572,000	588,641	588,279	15-Nov-41	5.00%	
LOWE'S COS INC	26,000	28,948	25,145	15-Apr-42	5.00%	
LYNX I CORP 144A	200,000	200,000	200,000	15-Apr-21	5.00%	
LYNX II CORP 144A	300,000	300,000	305,250	15-Apr-23	6.00%	

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MACQUARIE GROUP LTD 144A	287,000	318,119	317,238	14-Jan-21	6.00%	
MACY'S RETAIL HOLDINGS INC	205,000	244,402	228,768	15-Mar-37	6.00%	
MACY'S RETAIL HOLDINGS INC	49,000	52,949	46,759	15-Jan-42	5.00%	
MACY'S RETAIL HOLDINGS INC	93,000	90,489	78,487	15-Feb-43	4.00%	
MAGELLAN MIDSTREAM PARTNERS LP	67,000	66,705	66,041	15-Oct-43	5.00%	
MANITOWOC CO INC/THE	205,000	230,113	232,675	01-Nov-20	9.00%	
MARATHON OIL CORP	90,000	118,020	105,691	15-Mar-32	7.00%	
MARATHON PETROLEUM CORP	105,000	133,041	119,670	01-Mar-41	7.00%	
MARKWEST ENERGY PARTNERS LP /	30,000	30,600	31,725	15-Jun-22	6.00%	
MARKWEST ENERGY PARTNERS LP /	98,000	99,593	98,735	15-Feb-23	6.00%	
MASCO CORP	245,000	271,580	259,088	15-Mar-22	6.00%	
MASSACHUSETTS ELECTRIC CO 144A	271,000	343,533	304,254	15-Nov-39	6.00%	
MASSACHUSETTS MUTUAL LIFE 144A	195,000	317,099	279,447	01-Jun-39	9.00%	
MASSACHUSETTS MUTUAL LIFE 144A	145,000	167,368	149,907	01-Dec-41	5.00%	
MASSMUTUAL GLOBAL FUNDING 144A	1,560,000	1,489,594	1,408,992	17-Oct-22	3.00%	
MASTR ASSET BACKED SEC AB1 A3B	455,090	455,795	458,462	25-Nov-35	VAR	
MBIA INC	240,000	228,350	220,800	01-Oct-28	7.00%	
MBIA INC	145,000	124,988	120,713	01-Dec-34	6.00%	
MCDONALD'S CORP	210,000	265,398	255,904	15-Oct-37	6.00%	
MCDONALD'S CORP	200,000	252,700	243,110	01-Mar-38	6.00%	
MCDONALD'S CORP	850,000	832,856	810,042	15-Jan-22	3.00%	
MCDONALD'S CORP	900,000	885,114	749,961	01-May-43	4.00%	
MCGRAW-HILL GLOBAL EDUCAT 144A	140,000	138,092	154,700	01-Apr-21	10.00%	
MCKESSON CORP	165,000	191,641	174,785	01-Mar-21	5.00%	
MCKESSON CORP	55,000	72,647	61,662	01-Mar-41	6.00%	
MEDIMPACT HOLDINGS INC 144A	570,000	625,819	625,575	01-Feb-18	11.00%	
MEG ENERGY CORP 144A	315,000	324,650	316,969	30-Jan-23	6.00%	
MEG ENERGY CORP 144A	535,000	535,994	541,688	31-Mar-24	7.00%	
MERCEDES-BENZ AUTO LEASE B A3	395,000	394,981	394,680	15-Jul-16	1.00%	
MERCK & CO INC	435,000	435,000	436,296	18-May-16	VAR	
MERCK & CO INC	2,990,000	2,850,579	2,768,082	18-May-23	3.00%	
MERCK & CO INC	946,000	943,105	864,256	18-May-43	4.00%	
MERCK & CO INC	120,000	171,972	149,624	15-Sep-37	7.00%	
MERCK SHARP & DOHME CORP	1,700,000	2,043,968	1,976,131	30-Jun-39	6.00%	
MERRILL LYNCH & CO INC	1,080,000	1,402,361	1,394,356	14-May-38	8.00%	
METLIFE INC	990,000	1,249,287	1,177,932	15-Dec-32	7.00%	
METLIFE INC	475,000	544,612	518,767	15-Jun-35	6.00%	
METLIFE INC	550,000	552,750	561,490	15-Sep-23	VAR	
METLIFE INC	56,000	56,007	48,699	13-Aug-42	4.00%	
METLIFE INC	335,000	332,910	328,782	13-Nov-43	5.00%	
METROPCS WIRELESS INC 144A	260,000	260,000	269,750	01-Apr-21	6.00%	
METROPCS WIRELESS INC 144A	190,000	190,000	196,175	01-Apr-23	7.00%	
METROPOLITAN LIFE GLOBAL 144A	265,000	288,203	267,218	11-Apr-22	4.00%	
METROPOLITAN LIFE GLOBAL 144A	1,375,000	1,328,919	1,281,074	10-Jan-23	3.00%	
MICROSOFT CORP	25,000	30,592	26,478	01-Jun-39	5.00%	
MICROSOFT CORP	77,000	85,567	73,148	01-Oct-40	5.00%	
MICROSOFT CORP	109,000	136,554	116,779	08-Feb-41	5.00%	
MICROSOFT CORP	2,710,000	2,358,999	2,238,135	15-Nov-42	4.00%	
MICROSOFT CORP	1,500,000	1,329,720	1,279,695	01-May-43	4.00%	
MICROSOFT CORP	1,370,000	1,363,260	1,372,137	15-Dec-23	4.00%	
MIDAMERICAN ENERGY CO	275,000	273,702	279,590	15-Sep-43	5.00%	
MIDAMERICAN ENERGY HOLDIN 144A	83,000	82,509	83,691	15-Nov-43	5.00%	
MIDAMERICAN ENERGY HOLDINGS CO	250,000	367,503	338,015	15-Sep-28	8.00%	
MIDAMERICAN ENERGY HOLDINGS CO	1,915,000	2,474,623	2,224,349	15-Sep-37	7.00%	
MISSISSIPPI POWER CO	2,090,000	1,957,740	1,813,117	15-Mar-42	4.00%	
MOLSON COORS BREWING CO	175,000	166,332	171,229	01-May-42	5.00%	
MONDELEZ INTERNATIONAL INC	195,000	245,252	238,586	11-Aug-37	7.00%	
MONSANTO CO	357,000	356,825	348,254	15-Nov-43	5.00%	
MONT BLANC CAP DISC	1,000,000	999,201	999,201	04-Mar-14		

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MOOD MEDIA CORP 144A	170,000	179,138	150,025	15-Oct-20	9.00%	
MORGAN STANLEY	390,000	494,287	482,656	01-Apr-32	7.00%	
MORGAN STANLEY	183,000	182,167	183,547	24-Nov-25	5.00%	
MORGAN STANLEY	4,436,000	4,309,358	4,316,539	25-Feb-23	4.00%	
MORGAN STANLEY	680,000	737,681	759,873	28-Jul-21	6.00%	
MOSAIC CO/THE	107,000	115,735	96,882	15-Nov-41	5.00%	
MOSAIC CO/THE	1,019,000	1,015,189	1,038,208	15-Nov-33	5.00%	
MOSAIC CO/THE	13,000	12,989	13,188	15-Nov-43	6.00%	
MYLAN INC/PA	520,000	517,982	511,467	29-Nov-23	4.00%	
NATIONAL AUSTRALIA BANK LTD/NE	250,000	255,980	254,438	09-Mar-15	2.00%	
NATIONAL MONEY MART CO	100,000	110,500	101,500	15-Dec-16	10.00%	
NATIONAL OILWELL VARCO INC	219,000	221,895	193,329	01-Dec-42	4.00%	
NATIONSTAR MORTGAGE LLC / NATI	210,000	197,925	200,025	01-Jul-21	7.00%	
NATIONSTAR MORTGAGE LLC / NATI	210,000	196,875	196,875	01-Jun-22	7.00%	
NATIONWIDE MUTUAL INSURAN 144A	185,000	260,310	259,431	15-Aug-39	9.00%	
NATIONWIDE MUTUAL INSURANCE CO	290,000	350,337	353,617	01-Apr-33	8.00%	
NATIXIS US DISC	1,350,000	1,345,394	1,345,394	14-Aug-14		
NATURAL RESOURCE PARTNERS 144A	175,000	173,262	178,938	01-Oct-18	9.00%	
NAVIOS MARITIME ACQUISITI 144A	130,000	130,000	132,600	15-Nov-21	8.00%	
NAVIOS MARITIME HOLDINGS 144A	155,000	155,000	155,775	15-Jan-22	7.00%	
NBCUNIVERSAL MEDIA LLC	2,575,000	2,430,973	2,306,737	15-Jan-43	4.00%	
NBCUNIVERSAL MEDIA LLC	212,000	265,724	243,722	30-Apr-40	6.00%	
NBCUNIVERSAL MEDIA LLC	105,000	128,733	114,853	01-Apr-41	6.00%	
NCR ESCROW CORP 144A	160,000	161,863	163,000	15-Dec-21	6.00%	
NCR ESCROW CORP 144A	230,000	232,013	234,888	15-Dec-23	6.00%	
NEVADA POWER CO	640,000	865,201	781,235	01-Apr-36	7.00%	
NEVADA POWER CO	35,000	48,546	43,440	01-Jul-37	7.00%	
NEVADA POWER CO	73,000	87,311	78,186	15-Sep-40	5.00%	
NEVADA POWER CO	63,000	77,132	68,238	15-May-41	5.00%	
NEW YORK LIFE INSURANCE C 144A	1,986,000	2,531,687	2,422,582	15-Nov-39	7.00%	
NEWELL RUBBERMAID INC	62,000	68,478	65,029	15-Aug-20	5.00%	
NEWS AMERICA INC	65,000	89,913	82,917	26-Apr-23	9.00%	
NEWS AMERICA INC	140,000	197,875	176,904	01-Dec-45	8.00%	
NEWS AMERICA INC	450,000	569,673	526,788	30-Apr-28	7.00%	
NEWS AMERICA INC	90,000	111,722	102,308	15-Dec-35	6.00%	
NEWS AMERICA INC	580,000	711,817	637,472	01-Mar-37	6.00%	
NEWS AMERICA INC	900,000	1,162,971	1,050,534	15-Nov-37	7.00%	
NEXEN INC	65,000	80,351	69,418	10-Mar-35	6.00%	
NEXEN INC	85,000	123,023	108,397	30-Jul-39	8.00%	
NIELSEN CO LUXEMBOURG SAR 144A	300,000	300,000	304,500	01-Oct-21	6.00%	
NII CAPITAL CORP	240,000	181,800	98,400	01-Apr-21	8.00%	
NII INTERNATIONAL TELECOM 144A	285,000	285,000	237,975	15-Aug-19	11.00%	
NII INTERNATIONAL TELECOM 144A	595,000	531,650	449,225	15-Aug-19	8.00%	
NISKA GAS STORAGE US LLC / NIS	500,000	516,563	520,000	15-Mar-18	9.00%	
NISOURCE FINANCE CORP	100,000	122,710	116,379	15-Jan-19	7.00%	
NISOURCE FINANCE CORP	100,000	119,667	106,878	15-Dec-40	6.00%	
NISOURCE FINANCE CORP	90,000	95,266	87,466	15-Feb-43	5.00%	
NISOURCE FINANCE CORP	102,000	101,567	92,032	15-Feb-44	5.00%	
NISOURCE FINANCE CORP	550,000	552,178	563,387	01-Feb-45	6.00%	
NOBLE HOLDING INTERNATIONAL LT	174,000	178,526	166,950	15-Mar-42	5.00%	
NOMURA HOLDINGS INC	62,000	72,357	71,094	04-Mar-20	7.00%	
NORFOLK SOUTHERN CORP	125,000	151,996	132,803	15-Mar-39	6.00%	
NORFOLK SOUTHERN CORP	537,000	652,025	568,592	23-May-39	6.00%	
NORFOLK SOUTHERN CORP	44,000	49,092	42,007	01-Oct-41	5.00%	
NORFOLK SOUTHERN CORP	46,000	45,567	38,705	01-Oct-42	4.00%	
NORTHERN STATES POWER CO/MN	270,000	290,646	290,166	15-Jul-35	5.00%	
NORTHERN STATES POWER CO/MN	365,000	504,656	440,285	01-Jun-36	6.00%	
NORTHERN STATES POWER CO/MN	137,000	171,340	150,341	01-Nov-39	5.00%	
NORTHROP GRUMMAN SYSTEMS CORP	175,000	247,884	223,186	15-Feb-31	8.00%	

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NOVA CHEMICALS CORP	155,000	175,925	170,694	01-Nov-19	9.00%	
NRG ENERGY INC	310,000	347,200	343,325	01-Sep-20	8.00%	
NRG ENERGY INC	470,000	494,463	497,025	15-May-19	8.00%	
NRG ENERGY INC	115,000	127,650	127,363	15-May-21	8.00%	
NUCOR CORP	385,000	528,047	428,293	01-Dec-37	6.00%	
NUFARM AUSTRALIA LTD 144A	150,000	156,500	155,250	15-Oct-19	6.00%	
OASIS PETROLEUM INC	195,000	209,138	207,675	15-Jan-23	7.00%	
OASIS PETROLEUM INC 144A	150,000	150,000	159,000	15-Mar-22	7.00%	
OHIO POWER CO	235,000	300,802	273,131	15-Feb-33	7.00%	
OIL STATES INTERNATIONAL INC	325,000	346,125	345,719	01-Jun-19	7.00%	
OIL STATES INTERNATIONAL INC	165,000	167,269	186,038	15-Jan-23	5.00%	
ONCOR ELECTRIC DELIVERY CO LLC	360,000	471,362	452,290	15-Jan-33	7.00%	
ONCOR ELECTRIC DELIVERY CO LLC	75,000	95,359	91,376	01-May-32	7.00%	
ORACLE CORP	100,000	139,052	121,835	15-Apr-38	7.00%	
ORACLE CORP	1,780,000	2,249,517	2,074,038	08-Jul-39	6.00%	
ORACLE CORP	2,383,000	2,723,870	2,544,520	15-Jul-40	5.00%	
OVERSEA CHINESE DISC	1,050,000	1,048,761	1,048,761	02-Apr-14		
OWENS CORNING	340,000	376,200	366,255	01-Dec-36	VAR	
PACCAR FINANCIAL CORP	280,000	280,000	279,952	08-Feb-16	VAR	
PACIFIC GAS & ELECTRIC CO	2,200,000	2,744,644	2,520,078	01-Mar-34	6.00%	
PACIFIC GAS & ELECTRIC CO	1,012,000	1,205,356	1,115,619	01-Mar-37	6.00%	
PACIFIC GAS & ELECTRIC CO	399,000	477,826	424,205	15-Jan-40	5.00%	
PACIFIC GAS & ELECTRIC CO	59,000	56,412	49,212	15-Aug-42	4.00%	
PACIFIC GAS & ELECTRIC CO	2,496,000	2,465,906	2,381,758	15-Jun-43	5.00%	
PACIFIC LIFE INSURANCE CO 144A	1,039,000	1,468,751	1,442,870	15-Jun-39	9.00%	
PACIFIC LIFECORP 144A	375,000	378,855	344,790	30-Jan-43	5.00%	
PACIFICORP	655,000	971,129	867,410	15-Nov-31	8.00%	
PACIFICORP	125,000	158,199	142,950	01-Apr-37	6.00%	
PACIFICORP	275,000	370,431	327,874	15-Oct-37	6.00%	
PACIFICORP	1,000,000	997,000	938,110	01-Jun-23	3.00%	
PARIS LAS VEGAS HOLDING L 144A	890,000	890,000	912,250	01-Oct-21	11.00%	
PEABODY ENERGY CORP	275,000	292,188	277,750	15-Nov-21	6.00%	
PECO ENERGY CO	1,150,000	1,159,131	1,169,159	15-Oct-43	5.00%	
PEPSICO INC	835,000	861,303	834,958	01-Nov-40	5.00%	
PERNOD-RICARD SA 144A	1,060,000	1,194,078	1,083,723	15-Jan-42	6.00%	
PERRIGO CO LTD 144A	380,000	378,412	372,985	15-Nov-43	5.00%	
PETROBRAS GLOBAL FINANCE BV	87,000	85,283	71,019	20-May-43	6.00%	
PETROBRAS INTERNATIONAL FINANC	390,000	474,608	362,868	27-Jan-41	7.00%	
PETRO-CANADA	1,330,000	1,746,694	1,591,824	15-May-38	7.00%	
PETROQUEST ENERGY INC	175,000	175,813	181,563	01-Sep-17	10.00%	
PFIZER INC	580,000	881,973	779,584	15-Mar-39	7.00%	
PFIZER INC	420,000	518,440	497,881	15-Mar-19	6.00%	
PFIZER INC	2,125,000	2,120,346	1,998,244	15-Jun-43	4.00%	
PFIZER INC	1,930,000	1,868,665	1,813,370	15-Jun-23	3.00%	
PHARMACIA CORP	100,000	133,857	122,926	01-Dec-28	VAR	
PHILIP MORRIS INTERNATIONAL IN	2,665,000	3,327,931	3,158,798	16-May-38	6.00%	
PHILIP MORRIS INTERNATIONAL IN	930,000	1,049,319	1,005,637	26-Mar-20	5.00%	
PHILLIPS 66	205,000	246,685	222,333	01-May-42	6.00%	
PHYSIO-CONTROL INTERNATIO 144A	122,000	133,895	136,640	15-Jan-19	10.00%	
PINNACLE OPERATING CORP 144A	195,000	197,250	206,944	15-Nov-20	9.00%	
PLACER DOME INC	80,000	95,368	73,934	15-Oct-35	6.00%	
PLAINS ALL AMERICAN PIPELINE L	730,000	955,972	853,195	15-Jan-37	7.00%	
PLAINS EXPLORATION & PRODUCTIO	275,000	302,844	301,551	01-May-21	7.00%	
PLAINS EXPLORATION & PRODUCTIO	395,000	430,550	432,012	15-Jun-19	6.00%	
PNC BANK NA	590,000	590,189	534,817	01-Nov-22	3.00%	
PNC BANK NATL ASSOC IB NT	1,100,000	1,100,000	1,100,000	12-Feb-14	0.00%	
POLYMER GROUP INC	205,000	219,863	218,581	01-Feb-19	8.00%	
POST HOLDINGS INC	445,000	479,442	476,150	15-Feb-22	7.00%	
POST HOLDINGS INC 144A	355,000	360,625	367,425	01-Dec-21	7.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
POTASH CORP OF SASKATCHEWAN INC	490,000	559,441	527,446	01-Dec-36	6.00%	
POTASH CORP OF SASKATCHEWAN INC	555,000	674,453	589,366	01-Dec-40	6.00%	
POTOMAC ELECTRIC POWER CO	605,000	838,021	750,660	15-Nov-37	7.00%	
POTOMAC ELECTRIC POWER CO	250,000	405,158	352,933	15-Dec-38	8.00%	
POTOMAC ELECTRIC POWER CO	540,000	535,999	532,111	15-Nov-43	5.00%	
PPG INDUSTRIES INC	125,000	172,685	160,168	01-May-21	9.00%	
PPG INDUSTRIES INC	170,000	242,442	221,201	15-Mar-38	8.00%	
PPG INDUSTRIES INC	21,000	24,411	21,890	15-Nov-40	6.00%	
PPL ELECTRIC UTILITIES CORP	140,000	167,258	148,617	15-Jul-41	5.00%	
PPL ELECTRIC UTILITIES CORP	888,000	882,370	888,702	15-Jul-43	5.00%	
PRINCIPAL FINANCIAL GROUP INC	14,000	17,327	15,892	15-Oct-36	6.00%	
PRINCIPAL FINANCIAL GROUP INC	1,417,000	1,334,837	1,270,921	15-May-43	4.00%	
PROCTER & GAMBLE CO/THE	160,000	239,306	214,832	01-Sep-24	8.00%	
PROCTER & GAMBLE CO/THE	1,080,000	1,280,543	1,234,462	05-Mar-37	6.00%	
PROCTER & GAMBLE CO/THE	255,000	254,870	255,033	06-Feb-14	VAR	
PROGRESS ENERGY INC	182,000	248,632	234,372	01-Mar-31	8.00%	
PROGRESS ENERGY INC	830,000	1,069,878	1,002,715	30-Oct-31	7.00%	
PROGRESS ENERGY INC	515,000	623,444	577,614	01-Dec-39	6.00%	
PROSPECT MEDICAL HOLDINGS 144A	340,000	357,850	364,650	01-May-19	8.00%	
PROVIDENT FUNDING ASSOCIA 144A	200,000	211,000	218,000	15-Feb-19	10.00%	
PROVIDENT FUNDING ASSOCIA 144A	90,000	90,000	89,550	15-Jun-21	7.00%	
PRUDENTIAL FINANCIAL INC	385,000	438,530	413,579	14-Dec-36	6.00%	
PRUDENTIAL FINANCIAL INC	130,000	137,739	132,113	15-Sep-42	VAR	
PRUDENTIAL INSURANCE CO OF AME	475,000	660,226	596,225	01-Jul-25	8.00%	
PRUDENTIAL PLC DISC	1,450,000	1,447,703	1,447,703	11-Feb-14		
PSEG POWER LLC	55,000	80,201	74,800	15-Apr-31	9.00%	
PSEG POWER LLC	81,000	93,350	88,335	15-Apr-20	5.00%	
PUBLIC SERVICE CO OF COLORADO	70,000	98,229	87,121	01-Aug-38	7.00%	
PUBLIC SERVICE CO OF COLORADO	1,570,000	1,718,871	1,585,669	15-Aug-41	5.00%	
PUBLIC SERVICE CO OF COLORADO	42,000	41,716	37,359	15-Mar-43	4.00%	
PUBLIC SERVICE CO OF NEW HAMPS	75,000	74,726	73,434	01-Nov-23	4.00%	
PUBLIC SERVICE CO OF OKLAHOMA	239,000	279,030	264,779	01-Dec-19	5.00%	
PUBLIC SERVICE ELECTRIC & GAS	125,000	142,295	142,514	01-Dec-36	6.00%	
PUBLIC SERVICE ELECTRIC & GAS	195,000	244,690	212,862	01-Nov-39	5.00%	
PUBLIC SERVICE ELECTRIC & GAS	150,000	131,312	126,482	01-Sep-42	4.00%	
PUBLIC SERVICE ELECTRIC & GAS	100,000	89,932	86,615	01-Jan-43	4.00%	
PUBLIC SERVICE ELECTRIC & GAS	2,205,000	2,197,966	1,982,670	15-May-23	2.00%	
QWEST CORP	267,000	312,916	292,354	01-Dec-21	7.00%	
RABOBANK USA FINL DISC	790,000	789,184	789,184	03-Apr-14		
RANGE RESOURCES CORP	245,000	256,025	240,713	15-Aug-22	5.00%	
REGENCY MRKTS #1 DISC	2,200,000	2,199,726	2,199,726	21-Jan-14		
REPUBLIC SERVICES INC	95,000	114,818	103,858	15-Mar-35	6.00%	
REPUBLIC SERVICES INC	835,000	1,018,715	947,742	01-Mar-40	6.00%	
REPUBLIC SERVICES INC	238,000	284,615	254,712	15-May-41	6.00%	
RESOLUTE FOREST PRODUCTS 144A	114,000	108,525	105,450	15-May-23	6.00%	
REX ENERGY CORP	255,000	271,169	279,225	01-Dec-20	9.00%	
REYNOLDS AMERICAN INC	460,000	464,085	408,857	01-Nov-42	5.00%	
RHODES MERGER SUB INC 144A	150,000	109,500	108,750	15-Oct-21	9.00%	
RIO TINTO ALCAN INC	420,000	576,958	509,229	15-Mar-31	7.00%	
RIO TINTO FINANCE USA LTD	450,000	610,011	553,437	15-Jul-28	7.00%	
RIO TINTO FINANCE USA LTD	1,555,000	1,647,052	1,601,759	02-Nov-40	5.00%	
RIO TINTO FINANCE USA PLC	615,000	604,004	603,512	22-Mar-22	4.00%	
ROCHE HOLDINGS INC 144A	355,000	506,307	465,529	01-Mar-39	7.00%	
ROGERS COMMUNICATIONS INC	50,000	76,856	64,823	01-May-32	9.00%	
ROYAL BANK OF CANADA	115,000	116,055	115,642	30-Oct-14	VAR	
ROYAL BANK OF SCOTLAND GROUP P	580,000	574,768	584,130	19-Dec-23	6.00%	
RR DONNELLEY & SONS CO	230,000	231,413	232,300	15-Nov-23	7.00%	
SABINE PASS LIQUEFACTION 144A	730,000	734,844	713,575	01-Feb-21	VAR	
SABINE PASS LIQUEFACTION 144A	195,000	195,000	182,325	15-Apr-23	6.00%	

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SABINE PASS LNG LP	325,000	358,313	367,250	30-Nov-16	8.00%	
SABINE PASS LNG LP	190,000	193,325	197,125	01-Nov-20	7.00%	
SABMILLER PLC	135,000	177,092	160,422	15-Aug-33	7.00%	
SAN DIEGO GAS & ELECTRIC CO	60,000	81,374	71,609	01-Jun-26	6.00%	
SAN DIEGO GAS & ELECTRIC CO	58,000	65,182	57,333	15-Aug-40	5.00%	
SAN DIEGO GAS & ELECTRIC CO	665,000	619,674	599,890	15-Nov-41	4.00%	
SANDRIDGE ENERGY INC	345,000	369,150	361,388	15-Mar-21	8.00%	
SANDRIDGE ENERGY INC	145,000	148,444	153,700	15-Oct-22	8.00%	
SANTANDER DRIVE AUTO REC 5 A2A	400,000	399,996	400,072	17-Apr-17	1.00%	
SANTANDER DRIVE AUTO RECE 2 A2	187,850	187,834	187,831	15-Mar-16	0.00%	
SANTANDER DRIVE AUTO RECE 4 A2	115,946	115,936	116,138	15-Sep-16	1.00%	
SCHAEFFLER HOLDING FINANC 144A	275,000	273,537	291,500	15-Aug-18	7.00%	
SCHLUMBERGER INVESTMENT SA	192,000	191,347	190,328	01-Dec-23	4.00%	
SEALED AIR CORP 144A	225,000	253,125	252,563	15-Sep-19	8.00%	
SEALED AIR CORP 144A	95,000	108,538	107,825	15-Sep-21	8.00%	
SEARS HOLDINGS CORP	750,000	705,269	678,750	15-Oct-18	7.00%	1
SEMPRA ENERGY	100,000	140,013	132,104	15-Feb-19	10.00%	
SEMPRA ENERGY	440,000	556,283	483,322	15-Oct-39	6.00%	
SEMPRA ENERGY	67,000	66,776	66,158	01-Dec-23	4.00%	
SHELL INTERNATIONAL FINANCE BV	765,000	975,053	950,122	15-Dec-38	6.00%	
SHELL INTERNATIONAL FINANCE BV	215,000	276,054	238,852	25-Mar-40	6.00%	
SHELL INTERNATIONAL FINANCE BV	2,300,000	2,170,811	2,106,041	21-Aug-22	2.00%	
SHELL INTERNATIONAL FINANCE BV	960,000	953,257	935,664	12-Aug-23	3.00%	
SHELL INTERNATIONAL FINANCE BV	2,465,000	2,448,238	2,404,213	12-Aug-43	5.00%	
SHERWIN-WILLIAMS CO/THE	540,000	539,606	463,374	15-Dec-42	4.00%	
SIEMENS FINANCIERINGSMAATSCHAP	120,000	157,787	138,472	17-Aug-26	6.00%	
SIMON PROPERTY GROUP LP	1,028,000	1,307,762	1,289,390	01-Feb-40	7.00%	
SIMON PROPERTY GROUP LP	850,000	926,526	879,325	01-Dec-21	4.00%	
SIRIUS INTERNATIONAL GROUP LTD	220,000	227,036	226,703	29-May-49	VAR	
SLM CORP	185,000	185,925	191,984	15-Jan-19	6.00%	
SLM CORP	210,000	208,751	209,255	17-Jun-19	5.00%	
SLM STUDENT LOAN TR B A1 144A	272,792	272,792	272,656	15-Jul-22	VAR	
SOCIETE GEN N A DISC	700,000	698,306	698,306	31-Jan-14		
SOCIETE GEN N A DISC	1,200,000	1,195,950	1,195,950	08-Sep-14		
SOFTBANK CORP 144A	450,000	443,077	438,750	15-Apr-20	5.00%	
SOUTH CAROLINA ELECTRIC & GAS	560,000	686,017	610,786	01-Feb-41	5.00%	
SOUTH CAROLINA ELECTRIC & GAS	850,000	845,750	830,552	15-Jun-43	5.00%	
SOUTHERN CALIFORNIA EDISON CO	575,000	779,746	675,171	15-Mar-39	6.00%	
SOUTHERN CALIFORNIA EDISON CO	390,000	496,022	430,747	15-Mar-40	6.00%	
SOUTHERN CALIFORNIA EDISON CO	1,110,000	1,080,573	1,005,105	15-Mar-42	4.00%	
SOUTHERN CALIFORNIA EDISON CO	492,000	488,615	492,374	01-Oct-43	5.00%	
SOUTHERN POWER CO	115,000	129,502	112,584	15-Sep-41	5.00%	
SPECTRA ENERGY CAPITAL LLC	130,000	171,688	154,851	01-Oct-19	8.00%	
SPECTRA ENERGY CAPITAL LLC	25,000	34,652	28,747	15-Sep-38	8.00%	
SPIRIT AEROSYSTEMS INC	75,000	80,250	80,719	15-Dec-20	7.00%	
SPRINT CAPITAL CORP	230,000	239,200	216,775	15-Nov-28	7.00%	
SPRINT CAPITAL CORP	760,000	828,400	830,300	01-May-19	7.00%	
SPRINT CAPITAL CORP	300,000	366,750	321,750	15-Mar-32	9.00%	
SPRINT CORP 144A	385,000	385,000	413,875	15-Sep-23	8.00%	
SPRINT NEXTEL CORP	325,000	355,063	351,813	15-Aug-20	7.00%	
SPRINT NEXTEL CORP	135,000	131,625	131,625	15-Nov-22	6.00%	
SQUARETWO FINANCIAL CORP	150,000	142,125	155,063	01-Apr-17	12.00%	26
STANDARD CHARTERED PLC 144A	200,000	199,824	199,598	26-Jan-24	5.00%	
STATE STREET CORP	330,000	313,127	306,837	15-May-23	3.00%	
STATER BROS HOLDINGS INC	95,000	96,900	95,239	15-Apr-15	8.00%	
STATOIL ASA	320,000	447,681	410,896	15-Jan-29	7.00%	
STATOIL ASA	125,000	177,951	162,064	23-Sep-27	7.00%	
STATOIL ASA	138,000	166,268	143,227	17-Aug-40	5.00%	
STATOIL ASA	210,000	225,939	192,492	23-Nov-41	4.00%	

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STATOIL ASA	820,000	818,852	717,254	15-May-43	4.00%	
STATOIL ASA	830,000	825,418	838,541	08-Nov-43	5.00%	
SUNCOR ENERGY INC	185,000	224,340	201,437	01-Dec-34	6.00%	
SUNCOR ENERGY INC	283,000	377,465	329,452	15-Jun-38	7.00%	
SUNTRUST BANKS INC	150,000	164,355	159,902	15-Feb-26	6.00%	
SWEDBANK (FOR AB) DISC	1,450,000	1,448,306	1,448,306	21-Feb-14		
TALISMAN ENERGY INC	55,000	62,167	53,142	01-Feb-37	6.00%	
TALISMAN ENERGY INC	60,000	65,858	61,011	01-Feb-38	6.00%	
TALISMAN ENERGY INC	95,000	122,445	113,779	01-Jun-19	8.00%	
TARGET CORP	400,000	558,340	473,840	15-Oct-37	7.00%	
TARGET CORP	1,063,000	1,461,970	1,333,204	15-Jan-38	7.00%	
TAYLOR MORRISON COMMUNITI 144A	135,000	135,000	131,288	15-Apr-21	5.00%	
TCI COMMUNICATIONS INC	50,000	65,656	64,774	15-Feb-26	8.00%	
TCI COMMUNICATIONS INC	435,000	561,320	534,985	15-Feb-28	7.00%	
TECK RESOURCES LTD	955,000	985,346	912,856	15-Aug-40	6.00%	
TECK RESOURCES LTD	200,000	222,834	199,086	15-Jul-41	6.00%	
TECK RESOURCES LTD	310,000	306,788	282,767	01-Feb-43	5.00%	
TELEFONICA EMISIONES SAU	375,000	405,000	413,378	20-Jun-36	7.00%	
TELEFONICA EMISIONES SAU	50,000	54,625	55,755	15-Jul-19	6.00%	
TELEFONICA EMISIONES SAU	19,000	20,259	20,048	16-Feb-21	5.00%	
TELEFONICA EUROPE BV	355,000	420,231	422,752	15-Sep-30	8.00%	
TENET HEALTHCARE CORP 144A	525,000	546,000	547,969	01-Oct-20	6.00%	
TENNESSEE VALLEY AUTH BD	655,000	873,598	758,765	01-Apr-36	6.00%	
TENNESSEE VALLEY AUTH BD	250,000	339,250	274,588	15-Jun-38	6.00%	
TENNESSEE VALLEY AUTH BD	1,124,000	1,478,869	1,199,656	15-Sep-39	5.00%	
TENNESSEE VALLEY AUTH BD	336,000	402,431	300,528	15-Sep-60	5.00%	
TENNESSEE VALLEY AUTH STRIP	2,000,000	1,350,080	1,203,200	01-Nov-25		
TENNESSEE VALLEY AUTH STRIP	500,000	215,335	173,855	15-Jun-35	0.00%	
TERVITA CORP 144A	225,000	221,790	228,938	15-Feb-18	11.00%	
TEVA PHARMACEUTICAL FINANCE CO	110,000	143,967	120,487	01-Feb-36	6.00%	
THERMO FISHER SCIENTIFIC INC	112,000	111,698	110,936	01-Feb-24	4.00%	
THERMO FISHER SCIENTIFIC INC	92,000	91,934	93,028	01-Feb-44	5.00%	
THOMSON REUTERS CORP	125,000	154,678	126,759	15-Apr-40	6.00%	
THOMSON REUTERS CORP	95,000	93,189	80,417	23-May-43	5.00%	
TIME WARNER CABLE INC	425,000	564,689	423,802	01-Jul-38	7.00%	
TIME WARNER CABLE INC	31,000	34,493	25,687	01-Sep-41	6.00%	
TIME WARNER ENTERTAINMENT CO L	300,000	424,014	345,054	15-Mar-23	8.00%	
TIME WARNER INC	870,000	1,197,712	1,101,046	15-Apr-31	8.00%	
TIME WARNER INC	1,060,000	1,482,071	1,361,008	01-May-32	8.00%	
TIME WARNER INC	15,000	18,492	16,948	15-Nov-36	7.00%	
TIME WARNER INC	9,000	11,112	9,994	29-Mar-41	6.00%	
TIME WARNER INC	22,000	24,575	22,253	15-Oct-41	5.00%	
TJX COS INC	1,115,000	1,114,008	1,009,398	15-May-23	3.00%	
T-MOBILE USA INC	305,000	305,000	321,013	28-Apr-21	7.00%	
T-MOBILE USA INC	120,000	117,600	124,500	28-Apr-23	7.00%	
T-MOBILE USA INC	345,000	345,000	366,563	28-Apr-20	7.00%	
T-MOBILE USA INC	275,000	272,250	286,688	28-Apr-22	7.00%	
T-MOBILE USA INC	170,000	170,000	172,975	15-Jan-22	6.00%	
T-MOBILE USA INC	210,000	210,000	212,625	15-Jan-24	7.00%	
TMS INTERNATIONAL CORP 144A	390,000	398,058	414,375	15-Oct-21	8.00%	
TOLEDO EDISON CO/THE	85,000	106,003	93,461	15-May-37	6.00%	
TORONTO-DOMINION BANK/THE	380,000	380,000	380,365	01-May-15	VAR	
TOSCO CORP	100,000	147,313	131,553	01-Jan-27	8.00%	
TOSCO CORP	30,000	44,488	41,793	15-Feb-30	8.00%	
TOTAL CAPITAL INTERNATIONAL SA	2,102,000	2,113,229	2,078,395	15-Jan-24	4.00%	
TOWNSQUARE RADIO LLC / TO 144A	150,000	160,875	162,375	01-Apr-19	9.00%	
TOYOTA MOTOR CREDIT CORP	540,000	539,870	539,843	24-Oct-18	2.00%	
TRANSCANADA PIPELINES LTD	310,000	335,070	337,404	15-Mar-36	6.00%	
TRANSCANADA PIPELINES LTD	180,000	180,000	181,692	30-Jun-16	VAR	

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TRANSCANADA PIPELINES LTD	1,205,000	1,196,457	1,187,455	16-Oct-43	5.00%	
TRANSCANADA PIPELINES LTD	1,890,000	2,304,360	2,140,123	01-Jun-40	6.00%	
TRANSCANADA PIPELINES LTD	1,510,000	2,044,636	2,015,473	15-Jan-39	8.00%	
TRANSOCEAN INC	290,000	360,403	331,444	15-Apr-31	8.00%	
TRANSOCEAN INC	110,000	133,223	125,613	15-Nov-20	7.00%	
TRANSOCEAN INC	12,000	15,941	14,472	15-Dec-41	7.00%	
TRAVELERS COS INC/THE	2,400,000	2,399,952	2,344,944	01-Aug-43	5.00%	
TRAVELERS PROPERTY CASUALTY CO	200,000	279,322	254,992	15-Apr-26	8.00%	
TRILOGY INTERNATIONAL PAR 144A	940,000	827,200	940,000	15-Aug-16	10.00%	
TRINITY ACQUISITION PLC	690,000	689,497	697,521	15-Aug-43	6.00%	
TW TELECOM HOLDINGS INC	250,000	261,875	245,625	01-Oct-22	5.00%	
U S TREASURY BILL	275,000	274,957	274,957	02-Jan-14	0.00%	
U S TREASURY BILL	275,000	274,945	274,945	12-Jun-14	0.00%	
U S TREASURY BOND	10,515,000	13,919,237	12,885,817	15-Feb-31	5.00%	
U S TREASURY BOND	6,325,000	7,760,921	7,526,750	15-May-37	5.00%	
U S TREASURY BOND	5,000,000	5,631,836	5,543,750	15-May-38	5.00%	
U S TREASURY BOND	29,500,000	24,333,152	23,323,585	15-Nov-42	3.00%	
U S TREASURY NOTE	5,050,000	5,019,082	5,018,842	15-May-16	0.00%	
U S TREASURY NOTE	10,485,000	10,461,136	10,453,021	15-Nov-16	1.00%	
U S TREASURY NT CPN STRIP	675,000	407,045	343,332	15-Feb-31	0.00%	
U S TREASURY NT CPN STRIP	800,000	409,368	336,976	15-May-35	0.00%	
U S TREASURY NT CPN STRIP	200,000	101,306	82,442	15-Nov-35	0.00%	
U S TREASURY NT CPN STRIP	1,000,000	498,370	403,370	15-May-36	0.00%	
U S TREASURY NT CPN STRIP	6,200,000	3,670,772	3,081,524	15-Aug-31	0.00%	
U S TREASURY NT CPN STRIP	2,450,000	1,423,965	1,190,823	15-Feb-32	0.00%	
U S TREASURY NT CPN STRIP	400,000	228,124	190,048	15-Aug-32	0.00%	
U S TREASURY NT CPN STRIP	400,000	224,104	185,904	15-Feb-33	0.00%	
U S TREASURY NT CPN STRIP	2,300,000	1,264,517	1,045,534	15-Aug-33	0.00%	
U S TREASURY NT CPN STRIP	800,000	423,808	348,000	15-Aug-34	0.00%	
U S TREASURY NT CPN STRIP	1,350,000	821,529	695,142	15-Nov-30	0.00%	
U S TREASURY NT CPN STRIP	3,735,000	2,231,534	1,877,585	15-May-31	0.00%	26
U S TREASURY NT CPN STRIP	700,000	410,389	343,875	15-Nov-31	0.00%	
U S TREASURY NT CPN STRIP	1,000,000	576,160	480,580	15-May-32	0.00%	13
U S TREASURY NT CPN STRIP	5,850,000	3,307,356	2,748,272	15-Nov-32	0.00%	
U S TREASURY NT CPN STRIP	800,000	432,055	359,712	15-Nov-33	0.00%	
U S TREASURY NT CPN STRIP	1,150,000	603,532	495,121	15-Nov-34	0.00%	
UBS FIN DEL INC DISC	1,500,000	1,498,483	1,498,483	30-Apr-14		
ULTRA PETROLEUM CORP 144A	155,000	156,718	159,263	15-Dec-18	6.00%	
UNION CARBIDE CORP	105,000	130,758	121,592	01-Jun-25	8.00%	
UNION CARBIDE CORP	480,000	574,075	524,102	01-Oct-96	8.00%	
UNION ELECTRIC CO	350,000	354,680	306,366	15-Sep-42	4.00%	
UNION PACIFIC CORP	52,000	54,900	47,054	15-Jun-42	4.00%	
UNION PACIFIC CORP 144A	605,000	598,351	585,955	01-Feb-44	5.00%	
UNITED AIRLINES 2013-1 CLASS A	215,000	215,000	218,763	15-Feb-27	4.00%	
UNITED PARCEL SERVICE INC	90,000	120,714	109,392	15-Jan-38	6.00%	
UNITED PARCEL SERVICE OF AMERI	90,000	135,637	121,477	01-Apr-30		
UNITED REFINING CO	630,000	683,550	705,600	28-Feb-18	11.00%	
UNITED RENTALS NORTH AMERICA I	55,000	62,700	61,325	15-Dec-19	9.00%	
UNITED TECHNOLOGIES CORP	120,000	176,534	159,481	15-Sep-29	8.00%	
UNITED TECHNOLOGIES CORP	1,850,000	2,107,705	2,078,050	01-May-35	5.00%	
UNITED TECHNOLOGIES CORP	425,000	565,832	506,711	15-Jul-38	6.00%	
UNITED TECHNOLOGIES CORP	595,000	765,057	675,908	15-Apr-40	6.00%	
UNITED TECHNOLOGIES CORP	1,705,000	1,797,695	1,655,708	01-Jun-42	5.00%	
UNITED TECHNOLOGIES CORP	4,200,000	4,178,997	4,106,676	01-Jun-22	3.00%	
UNITEDHEALTH GROUP INC	155,000	204,992	187,528	15-Nov-37	7.00%	
UNITEDHEALTH GROUP INC	875,000	1,103,619	1,089,786	15-Feb-38	7.00%	
UNITEDHEALTH GROUP INC	1,500,000	1,785,827	1,699,320	15-Feb-41	6.00%	
UNITEDHEALTH GROUP INC	117,000	124,909	110,521	15-Nov-41	5.00%	
UNITEDHEALTH GROUP INC	112,000	111,528	94,983	15-Oct-42	4.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
 SCHEDULE OF ASSETS (HELD AT END OF YEAR)
 AS OF DECEMBER 31, 2013

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
UNITEDHEALTH GROUP INC	1,935,000	1,836,368	1,736,527	15-Mar-43	4.00%	
UNIVISION COMMUNICATIONS 144A	125,000	123,788	124,844	15-May-23	5.00%	
UNIVISION COMMUNICATIONS 144A	75,000	81,188	82,406	01-Nov-20	8.00%	
UNIVISION COMMUNICATIONS 144A	275,000	283,938	301,125	15-Sep-22	7.00%	
US BANCORP	220,000	222,251	204,409	15-Jul-22	3.00%	
US CONCRETE INC 144A	120,000	120,000	122,700	01-Dec-18	9.00%	
US TREAS-CPI INFLAT	533,275	782,321	599,182	15-Feb-41	2.00%	
US TREAS-CPI INFLAT	258,415	282,526	207,742	15-Feb-42	1.00%	
USG CORP	235,000	266,138	277,888	15-Jan-18	VAR	
USG CORP 144A	30,000	33,300	32,625	15-Oct-18	8.00%	
USG CORP 144A	155,000	156,200	161,200	01-Nov-21	6.00%	
VALEANT PHARMACEUTICALS I 144A	185,000	185,925	194,944	15-Oct-20	6.00%	
VALEANT PHARMACEUTICALS I 144A	115,000	116,725	115,575	01-Dec-21	6.00%	
VALEANT PHARMACEUTICALS I 144A	185,000	191,475	199,338	01-Oct-20	7.00%	
VALEANT PHARMACEUTICALS I 144A	335,000	360,963	358,450	01-Dec-18	7.00%	
VALERO ENERGY CORP	75,000	118,944	112,634	15-Mar-39	11.00%	
VERIZON COMMUNICATIONS IN 144A	520,000	520,000	519,121	06-Mar-15	VAR	
VERIZON COMMUNICATIONS INC	1,100,000	1,302,497	1,235,267	15-Feb-38	6.00%	
VERIZON COMMUNICATIONS INC	1,350,000	1,610,192	1,606,595	15-Apr-38	7.00%	
VERIZON COMMUNICATIONS INC	375,000	489,443	411,724	01-Apr-41	6.00%	
VERIZON COMMUNICATIONS INC	1,295,000	1,399,447	1,210,618	01-Nov-41	5.00%	
VERIZON COMMUNICATIONS INC	1,100,000	1,022,175	973,775	01-Nov-22	2.00%	
VERIZON COMMUNICATIONS INC	1,485,000	1,483,263	1,737,391	15-Sep-43	7.00%	
VERIZON COMMUNICATIONS INC	703,000	883,102	746,354	15-Sep-35	6.00%	
VERIZON COMMUNICATIONS INC	635,000	923,719	788,664	01-Apr-39	7.00%	
VERIZON COMMUNICATIONS INC	775,000	1,134,670	989,861	01-Dec-30	8.00%	
VERIZON NEW JERSEY INC	700,000	923,174	808,164	15-Nov-29	8.00%	
VERIZON PENNSYLVANIA LLC	120,000	164,209	142,668	15-Dec-30	8.00%	
VERSAILLES CDS DISC	2,000,000	1,998,747	1,998,747	03-Feb-14		
VIACOM INC	20,000	19,730	17,063	27-Feb-42	5.00%	
VIACOM INC	518,000	509,562	437,384	15-Mar-43	4.00%	
VIASAT INC	355,000	370,975	375,413	15-Jun-20	7.00%	
VIKING CRUISES LTD 144A	205,000	223,800	231,650	15-Oct-22	9.00%	
VIRGINIA ELECTRIC AND POWER CO	423,000	508,723	494,149	15-May-37	6.00%	
VIRGINIA ELECTRIC AND POWER CO	475,000	809,566	732,954	15-Nov-38	9.00%	
VIRGINIA ELECTRIC AND POWER CO	1,525,000	1,524,268	1,518,870	15-Aug-43	5.00%	
VODAFONE GROUP PLC	250,000	330,670	270,943	27-Feb-37	6.00%	
VOLKSWAGEN AUTO LEASE TR A A2A	185,000	185,000	185,102	21-Dec-15	1.00%	
VP II ESCROW CORP 144A	305,000	325,206	334,738	15-Jul-21	8.00%	
VULCAN MATERIALS CO	65,000	74,100	74,100	15-Jun-21	8.00%	
WACHOVIA BANK NA	1,500,000	1,985,849	1,866,435	15-Jan-38	7.00%	
WACHOVIA CORP	335,000	460,659	412,439	01-Aug-26		
WALGREEN CO	72,000	73,270	63,997	15-Sep-42	4.00%	
WAL-MART STORES INC	520,000	765,055	700,024	15-Feb-30	8.00%	
WAL-MART STORES INC	100,000	121,480	108,633	01-Sep-35	5.00%	
WAL-MART STORES INC	2,725,000	3,545,912	3,408,784	15-Aug-37	7.00%	
WAL-MART STORES INC	4,415,000	5,789,576	5,306,168	15-Apr-38	6.00%	
WAL-MART STORES INC	37,000	44,769	38,709	25-Oct-40	5.00%	
WAL-MART STORES INC	1,300,000	1,360,853	1,327,443	25-Oct-20	3.00%	
WAL-MART STORES INC	575,000	753,009	652,895	15-Apr-41	6.00%	
WAL-MART STORES INC	7,340,000	6,802,378	6,532,453	11-Apr-43	4.00%	
WALT DISNEY CO/THE	67,000	67,070	55,954	01-Dec-42	4.00%	
WASTE MANAGEMENT INC	900,000	1,270,386	1,172,538	15-May-32	8.00%	
WEA FINANCE LLC / WT FINA 144A	165,000	204,407	196,185	02-Sep-19	7.00%	
WEATHERFORD INTERNATIONAL LTD/	55,000	62,369	59,486	15-Sep-40	7.00%	
WEATHERFORD INTERNATIONAL LTD/	50,000	54,268	50,097	15-Apr-42	6.00%	
WEATHERFORD INTERNATIONAL LTD/	90,000	126,125	126,000	01-Mar-39	10.00%	
WELLPOINT INC	137,000	141,496	126,617	15-May-42	5.00%	
WELLPOINT INC	168,000	175,076	155,534	15-Jan-43	5.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
WELLS FARGO & CO	1,480,000	1,678,888	1,622,420	01-Apr-21	5.00%	
WELLS FARGO & CO	3,000,000	3,029,070	3,000,780	08-Mar-22	4.00%	
WELLS FARGO & CO	1,470,000	1,474,154	1,449,200	15-Aug-23	4.00%	
WELLS FARGO & CO	2,872,000	2,916,419	2,940,957	02-Nov-43	5.00%	
WELLS FARGO & CO	100,000	121,304	105,860	07-Feb-35	5.00%	
WELLS FARGO & CO 144A	284,000	289,521	294,988	15-Jan-44	6.00%	
WESTPAC BANKING CORP	450,000	452,853	454,775	25-Sep-15	VAR	
WIND ACQUISITION FINANCE 144A	300,000	303,750	315,750	15-Feb-18	7.00%	
WIND ACQUISITION HOLDINGS 144A	906,125	927,474	953,697	15-Jul-17	12.00%	9,604
WISCONSIN POWER & LIGHT CO	75,000	103,844	89,843	15-Aug-37	6.00%	
WISCONSIN PUBLIC SERVICE CORP	1,125,000	1,125,000	1,135,384	01-Nov-44	5.00%	
WISE METALS GROUP LLC / W 144A	125,000	125,000	131,563	15-Dec-18	9.00%	
WORLD OMNI AUTO RECEIVABL A 2	345,000	344,979	345,010	16-May-16	0.00%	
WYETH LLC	60,000	80,038	69,551	01-Apr-37	6.00%	
XCEL ENERGY INC	11,000	12,344	10,712	15-Sep-41	5.00%	
XEROX CORP	100,000	119,468	109,173	15-Dec-39	7.00%	
XEROX CORP	48,000	50,825	49,406	15-May-21	5.00%	
XTO ENERGY INC	100,000	154,740	130,760	01-Aug-37	7.00%	
ZOETIS INC	87,000	88,454	81,315	01-Feb-43	5.00%	
TOTAL U.S. GOVERNMENT SECURITIES AND CORPORATE DEBT		<u>744,093,655</u>	<u>708,642,415</u>			
COMMON/COLLECTIVE TRUSTS						
UBS EMERGING MARKETS DEBT	394,028	40,260,041	48,418,710			
JPMCB EXTENDED DURATION FUND	933,801	12,158,446	16,388,200			
SIGMA ERISA LIQUIDATING POOL	1,386,022	1,386,022	-			
SSGA LONG US TREASURY INDEX NL	1,693,015	26,822,660	30,199,996			
SSGA 20+YEAR US HIGH QUALITY BOND	17,098,688	174,438,095	199,661,377			
SSGA 5-20YEAR US HIGH QUALITY	6,419,266	69,633,387	72,499,186			
TOTAL COMMON/COLLECTIVE TRUSTS		<u>324,698,651</u>	<u>367,167,469</u>			
REGISTERED INVESTMENT COMPANIES						
RIDGEWORTH SEIX FLOATING RATE	658,748	5,895,490	5,968,255			
TOTAL REGISTERED INVESTMENT COMPANIES		<u>5,895,490</u>	<u>5,968,255</u>			
OTHER INVESTMENTS						
AMERICAN MUNI PWR-OHIO INC OH	240,000	327,871	293,059	15-Feb-50	8.00%	
CALIFORNIA ST	190,000	264,681	238,849	01-Oct-39	7.00%	
ILLINOIS ST	1,570,000	1,552,981	1,458,436	01-Jun-33	5.00%	
LOS ANGELES CA DEPT OF ARPTS	105,000	136,125	119,678	15-May-39	7.00%	
NEW YORK ST DORM AUTH ST PERS	75,000	89,334	79,964	15-Mar-33	5.00%	
NEW YORK ST DORM AUTH ST PERSO	160,000	198,214	171,262	15-Mar-40	5.00%	
OHIO ST UNIV	618,000	702,530	534,743	01-Jun-39	5.00%	
PORT AUTH OF NEW YORK & NEW JE	95,000	120,448	107,904	01-Dec-29	6.00%	
PORT AUTH OF NEW YORK & NEW JE	355,000	437,104	382,143	01-Nov-40	6.00%	
PORT AUTH OF NEW YORK & NEW JE	135,000	134,283	115,004	01-Oct-62	4.00%	
PUERTO RICO SALES TAX FING COR	195,000	148,413	152,697	01-Aug-44	7.00%	
PUERTO RICO SALES TAX FING COR	495,000	344,337	354,479	01-Aug-37	6.00%	
PROVINCE OF QUEBEC CANADA	170,000	231,747	204,961	30-Jan-26	6.00%	
MEXICO GOVERNMENT INTERNATIONA	275,000	422,125	347,188	08-Apr-33	8.00%	
MEXICO GOVERNMENT INTERNATIONA	820,000	986,050	758,500	12-Oct-39	6.00%	
MEXICO GOVERNMENT INTERNATIONA	270,000	305,100	243,338	08-Mar-44	5.00%	
UNIV OF CALIFORNIA CA REVENUES	85,000	90,403	73,565	15-May-12	5.00%	
US TREAS BD FUTURE (CBT)	(32)	-	61,750			
US 10YR TREAS NTS FUTURE (CBT)	(118)	-	205,766			
US 5YR TREAS NTS FUTURE (CBT)	35	-	(50,859)			
US ULTRA BOND (CBT)	17	-	(11,743)			
BZW CAT 1 REPO	1,320,523	1,320,523	1,320,523	02-Jan-14	0.00%	
CITIBANK CAT 1 REPO	1,125,947	1,125,947	1,125,947	02-Jan-14	0.00%	
DEUT CAT 1 REPO	1,156,117	1,156,117	1,156,117	02-Jan-14	0.00%	

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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 AS OF DECEMBER 31, 2013

Description of Investment Including Identity of, Issue, Maturity Date, Rate of Interest	Par Value	Cost	Fair Value	Maturity Date	Interest Rate	Par Value Restricted Under Lending Agreement
CREDIT AGRICOLE 1 REPO	5,063,909	5,063,909	5,063,909	02-Jan-14	0.00%	
CS FOB CAT 1 REPO	1,412,931	1,412,931	1,412,931	02-Jan-14	0.00%	
SG AMERICAS CAT 1 REPO	3,380,431	3,380,431	3,380,431	02-Jan-14	0.00%	
BNP PARIBAS CAT 1 REPO	1,345,930	1,345,930	1,345,929	02-Jan-14	0.00%	
TOTAL OTHER INVESTMENTS		<u>21,297,534</u>	<u>20,646,471</u>			
INTEREST BEARING CASH						
GREAT BRITISH POUNDS	10	16	16			
TAIWAN DOLLAR	48,285,269	1,662,773	1,620,121			
JAPANESE YEN	5	-	-			
SOUTH KOREAN WON	4	-	-			
CANADIAN DOLLARS	14,847	14,241	13,974			
SWEDISH KRONA	5	1	1			
UKRAINE DOLLARS	1,200	149	146		0.00%	
EURO	31,337	42,958	43,180			
NORDEA BANK FINLAND PLC/NEW YO	425,000	426,454	425,187	27-Jan-14	VAR	
SVENSKA HANDELSBKN INSTL C/D	580,000	580,000	580,470	17-Nov-14	VAR	
NATIXIS TD	1,529,478	1,529,478	1,529,478	02-Jan-14	0.00%	
SOCIETE GENERALE TD	4,278,999	4,278,999	4,278,999	02-Jan-14	0.00%	
CALYON BANK TD	3,070,902	3,070,902	3,070,902	02-Jan-14	0.00%	
BNY MELLON CASH RESERVE	5,061	5,061	5,061	31-Dec-49	0.00%	
TOTAL INTEREST BEARING CASH		<u>11,611,032</u>	<u>11,567,535</u>			
TOTAL INVESTMENTS		<u>\$ 2,396,952,901</u>	<u>\$ 2,819,109,031</u>			

* Party-in-interest

See accompanying Independent Auditors' Report.

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
ACI WORLDWIDE INC 144A	ACI WORLDWIDE INC 144A 6.375% 08/15/2020 DD 08/20/13	\$ (54,000)	\$ 55,080
ADT CORP/THE	ADT CORP/THE 4.875% 07/15/2042 DD 01/15/13	(285,812)	208,065
AES CORP/VA	AES CORP/VA 4.875% 05/15/2023 DD 04/30/13	(95,000)	96,425
AFFINIA GROUP INC 144A	AFFINIA GROUP INC 144A 7.750% 05/01/2021 DD 04/25/13	(145,000)	152,069
AHERN RENTALS INC 144A	AHERN RENTALS INC 144A 9.500% 06/15/2018 DD 06/07/13	(55,000)	55,756
AIR CANADA 2013-1 CLASS B 144A	AIR CANADA 2013-1 CLASS B 144A 5.375% 11/15/2022 DD 05/09/13	(51,000)	51,893
AIR CANADA 2013-1 CLASS C 144A	AIR CANADA 2013-1 CLASS C 144A 6.625% 05/15/2018 DD 05/09/13	(39,000)	39,390
ALCATEL-LUCENT	ALCATEL-LUCENT RTS EXP 29-NOV-2013	-	8
ALCATEL-LUCENT USA INC 144A	ALCATEL-LUCENT USA INC 144A 4.625% 07/01/2017 DD 12/12/13	(214,125)	215,538
ALERIS INTERNATIONAL INC	ALERIS INTERNATIONAL INC 7.875% 11/01/2020 DD 10/23/12	(45,000)	46,969
ALPHABET HOLDING CO INC 144A	ALPHABET HOLDING CO INC 144A 7.750% 11/01/2017 DD 11/01/13	(91,003)	91,543
AMERICA MOVIL SAB DE CV	AMERICA MOVIL SAB DE CV 5.000% 03/30/2020 DD 03/30/10	(515,355)	498,083
AMERICAN TOWER CORP	AMERICAN TOWER CORP 3.500% 01/31/2023 DD 01/08/13	(1,173,994)	1,115,054
ANCESTRY.COM INC 144A	ANCESTRY.COM INC 144A 9.625% 10/15/2018 DD 09/17/13	(133,650)	134,426
ANTERO RESOURCES CORP 144A	ANTERO RESOURCES CORP 144A 5.375% 11/01/2021 DD 11/05/13	(175,000)	175,681
APX GROUP INC 144A	APX GROUP INC 144A 8.750% 12/01/2020 DD 12/01/13	(82,215)	82,688
ARAMARK CORP 144A	ARAMARK CORP 144A 5.750% 03/15/2020 DD 03/07/13	(50,000)	50,938
ARCH COAL INC 144A	ARCH COAL INC 144A 8.000% 01/15/2019 DD 12/17/13	(42,000)	42,420

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
ARDAGH PACKAGING FINANCE 144A	ARDAGH PACKAGING FINANCE 144A 7.000% 11/15/2020 DD 01/24/13	(425,000)	425,000
ASHTON WOODS USA/FINANCE 144A	ASHTON WOODS USA/FINANCE 144A 6.875% 02/15/2021 DD 02/06/13	(396,956)	404,938
ATHLON HLDS LP / FIN COR 144A	ATHLON HLDS LP / FIN COR 144A 7.375% 04/15/2021 DD 04/17/13	(111,000)	112,665
ATLANTIC ASSET DISC	ATLANTIC ASSET DISC 13-May-13	(849,826)	849,826
ATLANTIC ASSET DISC	ATLANTIC ASSET DISC 12-Aug-13	(1,299,146)	1,299,146
ATLANTIC ASSET DISC	ATLANTIC ASSET DISC 13-Nov-13	(1,399,160)	1,399,160
ATLANTIS ONE FDG DISC	ATLANTIS ONE FDG DISC 18-Jun-13	(1,199,399)	1,199,399
AURORA USA OIL & GAS INC 144A	AURORA USA OIL & GAS INC 144A 7.500% 04/01/2020 DD 03/21/13	(430,000)	434,606
AUSENCO NPV	AUSENCO NPV	(714,656)	309,693
3.125% 07/15/2023 DD 04/29/13	AUTOZONE INC 3.125% 07/15/2023 DD 04/29/13	(551,931)	540,420
4.625% 01/31/2018 DD 01/22/13	AVIATION CAPITAL GROUP CO 144A 4.625% 01/31/2018 DD 01/22/13	(248,938)	243,588
4.600% 03/15/2020 DD 03/12/13	AVON PRODUCTS INC 4.600% 03/15/2020 DD 03/12/13	(69,896)	72,525
AVON PRODUCTS INC	AVON PRODUCTS INC 5.000% 03/15/2023 DD 03/12/13	(34,661)	35,814
AXIALL CORP 144A	AXIALL CORP 144A 4.875% 05/15/2023 DD 02/01/13	(35,000)	35,219
BALL CORP	BALL CORP 4.000% 11/15/2023 DD 05/16/13	(375,000)	344,288
BANCO BILBAO VIZCAYA	BANCO BILBAO VIZCAYA ARGENTARIA RTS 14-OCT-2013	(18,236)	18,871
BANKRATE INC 144A	BANKRATE INC 144A 6.125% 08/15/2018 DD 08/07/13	(96,959)	98,455
BARCLAYS PLC NIL PD	BARCLAYS PLC NIL PD RTS 02-OCY-2013	-	139,569

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BARCLAYS US FDG DISC	BARCLAYS US FDG DISC 03-Jan-14	(822,041)	822,041
BARTON CAP CORP DISC	BARTON CAP CORP DISC 03-Feb-14	(2,048,975)	2,049,248
BARTON CAP CORP DISC	BARTON CAP CORP DISC 02-May-13	(819,406)	819,406
BARTON CAP CORP DISC	BARTON CAP CORP DISC 02-Aug-13	(899,437)	899,436
BARTON CAP CORP DISC	BARTON CAP CORP DISC 05-Nov-13	(924,463)	924,463
BC MOUNTAIN LLC/BC MTN	BC MOUNTAIN LLC/BC MTN 7.000% 02/01/2021 DD 02/01/13	(50,000)	51,625
BEAZER HOMES USA INC 144A	BEAZER HOMES USA INC 144A 7.250% 02/01/2023 DD 02/01/13	(170,000)	171,913
BELLSOUTH CORP	BELLSOUTH CORP 6.000% 11/15/2034 DD 11/15/04	(670,216)	677,742
BEV PACK HLDS LU/ISSUER 144A	BEV PACK HLDS LU/ISSUER 144A 6.000% 06/15/2017 DD 12/10/13	(275,000)	278,653
BEVERAGE PACKAGING HOLDIN 144A	BEVERAGE PACKAGING HOLDIN 144A 5.625% 12/15/2016 DD 11/15/13	(70,000)	71,575
BIOMET INC	BIOMET INC 6.500% 08/01/2020 DD 02/01/13	(404,485)	415,006
BLUESCOP STEEL LTD/FIN 144A	BLUESCOP STEEL LTD/FIN 144A 7.125% 05/01/2018 DD 04/16/13	(120,000)	122,478
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.005% 07/17/2013 DD 07/16/13	(199,086)	199,086
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.005% 07/18/2013 DD 07/17/13	(97,659)	97,659
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.005% 07/24/2013 DD 07/23/13	(115,104)	115,104
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 05/30/2013 DD 05/29/13	(192,597)	192,597
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 05/31/2013 DD 05/30/13	(177,127)	177,127
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 06/12/2013 DD 06/11/13	(518,196)	518,196

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 06/14/2013 DD 06/13/13	(398,452)	398,452
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/10/2013 DD 07/09/13	(10,669)	10,669
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/11/2013 DD 07/10/13	(91,075)	91,075
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/12/2013 DD 07/11/13	(80,142)	80,142
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/15/2013 DD 07/12/13	(183,654)	183,654
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/19/2013 DD 07/18/13	(51,198)	51,198
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/22/2013 DD 07/19/13	(252,480)	252,480
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/23/2013 DD 07/22/13	(377,017)	377,017
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/25/2013 DD 07/24/13	(467,018)	467,018
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/29/2013 DD 07/26/13	(5,161,800)	5,161,800
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/30/2013 DD 07/29/13	(3,371,933)	3,371,933
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 07/31/2013 DD 07/30/13	(4,340,601)	4,340,601
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/21/2013 DD 08/20/13	(904,162)	904,162
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/22/2013 DD 08/21/13	(598,363)	598,363
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/23/2013 DD 08/22/13	(1,034,473)	1,034,473
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/26/2013 DD 08/23/13	(530,021)	530,021
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/27/2013 DD 08/26/13	(488,254)	488,254
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/28/2013 DD 08/27/13	(252,523)	252,523

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 08/29/2013 DD 08/28/13	(277,483)	277,483
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.010% 10/24/2013 DD 10/23/13	(2,550,763)	2,550,763
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 01/30/2013 DD 01/29/13	(361,531)	361,531
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 05/21/2013 DD 05/20/13	(71,504)	71,504
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 05/29/2013 DD 05/28/13	(342,437)	342,437
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 06/11/2013 DD 06/10/13	(369,395)	369,395
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 06/13/2013 DD 06/12/13	(594,793)	594,793
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 06/21/2013 DD 06/20/13	(179,068)	179,068
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 06/24/2013 DD 06/21/13	(65,802)	65,802
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 07/26/2013 DD 07/25/13	(1,377,114)	1,377,114
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/02/2013 DD 08/01/13	(3,985,331)	3,985,331
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/09/2013 DD 08/08/13	(3,027,732)	3,027,732
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/12/2013 DD 08/09/13	(1,912,052)	1,912,052
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/14/2013 DD 08/13/13	(1,993,156)	1,993,156
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/15/2013 DD 08/14/13	(1,091,105)	1,091,105
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/19/2013 DD 08/16/13	(1,223,962)	1,223,962
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/20/2013 DD 08/19/13	(1,156,334)	1,156,334
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 08/30/2013 DD 08/29/13	(1,635,985)	1,635,985

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/10/2013 DD 09/09/13	(782,268)	782,268
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/11/2013 DD 09/10/13	(680,711)	680,711
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/12/2013 DD 09/11/13	(627,736)	627,736
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/19/2013 DD 09/18/13	(150,670)	150,670
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/23/2013 DD 09/20/13	(85,142)	85,142
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/24/2013 DD 09/23/13	(153,660)	153,660
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/25/2013 DD 09/24/13	(152,993)	152,993
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/26/2013 DD 09/25/13	(225,399)	225,399
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/27/2013 DD 09/26/13	(121,967)	121,967
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 09/30/2013 DD 09/27/13	(43,316)	43,316
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 10/22/2013 DD 10/21/13	(1,891,346)	1,891,346
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 10/23/2013 DD 10/22/13	(2,155,191)	2,155,191
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 12/30/2013 DD 12/27/13	(3,451,029)	3,451,029
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.020% 12/31/2013 DD 12/30/13	(2,090,649)	2,090,649
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 05/20/2013 DD 05/17/13	(25,446)	25,446
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 06/06/2013 DD 06/05/13	(26,410)	26,410
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 06/17/2013 DD 06/14/13	(221,308)	221,308
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 06/20/2013 DD 06/19/13	(39,102)	39,102

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 07/03/2013 DD 07/02/13	(21,719)	21,719
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 07/09/2013 DD 07/08/13	(13,318)	13,318
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 08/08/2013 DD 08/07/13	(2,833,443)	2,833,443
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 08/13/2013 DD 08/12/13	(2,336,706)	2,336,706
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 09/06/2013 DD 09/05/13	(463,737)	463,737
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 09/09/2013 DD 09/06/13	(721,383)	721,383
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 09/13/2013 DD 09/12/13	(273,651)	273,651
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 09/17/2013 DD 09/16/13	(297,722)	297,722
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 09/18/2013 DD 09/17/13	(14,793)	14,793
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 10/02/2013 DD 10/01/13	(177,212)	177,212
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 10/03/2013 DD 10/02/13	(11,751)	11,751
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 10/04/2013 DD 10/03/13	(23,451)	23,451
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 10/25/2013 DD 10/24/13	(2,188,041)	2,188,041
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 11/06/2013 DD 11/05/13	(1,016,609)	1,016,609
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 11/07/2013 DD 11/06/13	(1,121,355)	1,121,355
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 12/12/2013 DD 12/11/13	(177,552)	177,552
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 12/13/2013 DD 12/12/13	(27,311)	27,311
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 12/16/2013 DD 12/13/13	(44,918)	44,918

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 12/24/2013 DD 12/23/13	(1,405,763)	1,405,763
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 12/26/2013 DD 12/24/13	(3,587,493)	3,587,493
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.030% 12/27/2013 DD 12/26/13	(3,164,883)	3,164,883
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 01/23/2013 DD 01/22/13	(180,506)	180,506
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 01/24/2013 DD 01/23/13	(741,824)	741,824
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 02/06/2013 DD 02/05/13	(98,539)	98,539
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 02/07/2013 DD 02/06/13	(188,643)	188,643
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 05/15/2013 DD 05/14/13	(627,760)	627,760
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 06/07/2013 DD 06/06/13	(85,590)	85,590
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 06/10/2013 DD 06/07/13	(261,521)	261,521
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 07/16/2013 DD 07/15/13	(231,159)	231,159
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 08/05/2013 DD 08/02/13	(3,926,021)	3,926,021
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 08/06/2013 DD 08/05/13	(2,666,679)	2,666,679
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 09/03/2013 DD 08/30/13	(161,337)	161,337
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 09/04/2013 DD 09/03/13	(975,396)	975,396
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 09/05/2013 DD 09/04/13	(793,835)	793,835
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 09/16/2013 DD 09/13/13	(465,446)	465,446
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 10/07/2013 DD 10/04/13	(181,374)	181,374

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 10/08/2013 DD 10/07/13	(163,885)	163,885
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 10/09/2013 DD 10/08/13	(60,210)	60,210
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 10/28/2013 DD 10/25/13	(1,611,217)	1,611,217
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 10/31/2013 DD 10/30/13	(5,599,858)	5,599,858
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 11/05/2013 DD 11/04/13	(1,677,644)	1,677,644
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 12/18/2013 DD 12/17/13	(15,501)	15,501
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 12/19/2013 DD 12/18/13	(199,532)	199,532
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 12/20/2013 DD 12/19/13	(2,176,209)	2,176,209
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.040% 12/23/2013 DD 12/20/13	(8,216,324)	8,216,324
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 01/31/2013 DD 01/30/13	(888,804)	888,804
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 02/12/2013 DD 02/11/13	(175,467)	175,467
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 04/24/2013 DD 04/23/13	(77,388)	77,388
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 04/25/2013 DD 04/24/13	(155,655)	155,655
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 05/09/2013 DD 05/08/13	(1,160,873)	1,160,873
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 05/10/2013 DD 05/09/13	(84,030)	84,030
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 08/07/2013 DD 08/06/13	(2,339,853)	2,339,853
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 10/01/2013 DD 09/30/13	(11,776)	11,776
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 10/29/2013 DD 10/28/13	(1,831,147)	1,831,147

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 10/30/2013 DD 10/29/13	(5,724,405)	5,724,405
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/08/2013 DD 11/07/13	(138,972)	138,972
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/14/2013 DD 11/13/13	(183,491)	183,491
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/19/2013 DD 11/18/13	(538,877)	538,877
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/20/2013 DD 11/19/13	(549,948)	549,948
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/21/2013 DD 11/20/13	(301,666)	301,666
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/22/2013 DD 11/21/13	(750,634)	750,634
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 11/25/2013 DD 11/22/13	(740,513)	740,513
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 12/05/2013 DD 12/04/13	(115,478)	115,478
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 12/06/2013 DD 12/05/13	(82,071)	82,071
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 12/09/2013 DD 12/06/13	(50,183)	50,183
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 12/10/2013 DD 12/09/13	(51,238)	51,238
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.050% 12/11/2013 DD 12/10/13	(111,808)	111,808
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 01/11/2013 DD 01/10/13	(48,283)	48,283
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 01/29/2013 DD 01/28/13	(126,492)	126,492
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 02/08/2013 DD 02/07/13	(174,930)	174,930
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 02/13/2013 DD 02/12/13	(169,053)	169,053
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 02/27/2013 DD 02/26/13	(96,941)	96,941

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 02/28/2013 DD 02/27/13	(991,724)	991,724
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 04/30/2013 DD 04/29/13	(225,251)	225,251
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 05/14/2013 DD 05/13/13	(311,758)	311,758
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 06/18/2013 DD 06/17/13	(52,232)	52,232
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 06/19/2013 DD 06/18/13	(14,451)	14,451
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 08/01/2013 DD 07/31/13	(3,611,387)	3,611,387
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 11/04/2013 DD 11/01/13	(4,209,523)	4,209,523
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 11/19/2013 DD 11/18/13	(641,178)	641,178
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 11/26/2013 DD 11/25/13	(781,755)	781,755
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 11/27/2013 DD 11/26/13	(556,290)	556,290
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 11/29/2013 DD 11/27/13	(294,591)	294,591
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 12/04/2013 DD 12/03/13	(59,248)	59,248
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.060% 12/17/2013 DD 12/16/13	(82,156)	82,156
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 01/11/2013 DD 01/10/13	(33,142)	33,142
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 03/14/2013 DD 03/13/13	(622,166)	622,166
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 03/28/2013 DD 03/27/13	(683,226)	683,226
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 04/29/2013 DD 04/26/13	(169,832)	169,832
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 05/08/2013 DD 05/07/13	(1,030,788)	1,030,788

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 05/13/2013 DD 05/10/13	(201,631)	201,631
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 05/16/2013 DD 05/15/13	(285,511)	285,511
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 07/02/2013 DD 07/01/13	(88,681)	88,681
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.070% 12/02/2013 DD 11/29/13	(14,826)	14,826
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 01/18/2013 DD 01/17/13	(276,867)	276,867
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 02/05/2013 DD 02/04/13	(125,287)	125,287
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 03/27/2013 DD 03/26/13	(387,964)	387,964
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 04/26/2013 DD 04/25/13	(161,497)	161,497
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 06/04/2013 DD 06/03/13	(392,326)	392,326
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 11/18/2013 DD 11/15/13	(477,350)	477,350
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.080% 12/03/2013 DD 12/02/13	(383,788)	383,788
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 01/14/2013 DD 01/11/13	(14,675)	14,675
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 02/14/2013 DD 02/13/13	(88,610)	88,610
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 03/15/2013 DD 03/14/13	(610,872)	610,872
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 04/04/2013 DD 04/03/13	(111,065)	111,065
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 05/07/2013 DD 05/06/13	(1,442,881)	1,442,881
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 06/05/2013 DD 06/04/13	(218,646)	218,646
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 10/10/2013 DD 10/09/13	(49,827)	49,827

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.090% 11/01/2013 DD 10/31/13	(10,087)	10,087
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.100% 01/09/2013 DD 01/08/13	(17,250)	17,250
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.100% 01/14/2013 DD 01/11/13	(24,335)	24,335
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.100% 03/20/2013 DD 03/19/13	(2,061,106)	2,061,106
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.100% 04/23/2013 DD 04/22/13	(124,760)	124,760
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.100% 11/18/2013 DD 11/15/13	(371,264)	371,264
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 01/08/2013 DD 01/07/13	(6,166)	6,166
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 01/25/2013 DD 01/24/13	(246,398)	246,398
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 02/11/2013 DD 02/08/13	(72,806)	72,806
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 02/15/2013 DD 02/14/13	(37,657)	37,657
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 02/20/2013 DD 02/19/13	(34,774)	34,774
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 02/26/2013 DD 02/25/13	(51,947)	51,947
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 03/13/2013 DD 03/12/13	(630,911)	630,911
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 03/19/2013 DD 03/18/13	(589,008)	589,008
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 03/22/2013 DD 03/21/13	(1,750,421)	1,750,421
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.110% 03/25/2013 DD 03/22/13	(1,002,958)	1,002,958
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 01/15/2013 DD 01/14/13	(23,917)	23,917
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 01/17/2013 DD 01/16/13	(407,977)	407,977

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 03/06/2013 DD 03/05/13	(460,757)	460,757
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 04/05/2013 DD 04/04/13	(3,921)	3,921
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 04/19/2013 DD 04/18/13	(130,531)	130,531
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 04/22/2013 DD 04/19/13	(145,804)	145,804
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 05/06/2013 DD 05/03/13	(1,425,467)	1,425,467
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 10/15/2013 DD 10/11/13	(4,004,955)	4,004,955
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 10/18/2013 DD 10/17/13	(2,874,323)	2,874,323
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.120% 10/21/2013 DD 10/18/13	(2,303,166)	2,303,166
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.130% 01/28/2013 DD 01/25/13	(66,798)	66,798
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.130% 02/01/2013 DD 01/31/13	(55,242)	55,242
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.130% 03/12/2013 DD 03/11/13	(1,082,191)	1,082,191
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.130% 03/26/2013 DD 03/25/13	(85,260)	85,260
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.130% 04/09/2013 DD 04/08/13	(80,304)	80,304
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.130% 10/18/2013 DD 10/17/13	(566,156)	566,156
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 01/07/2013 DD 01/04/13	(9,184)	9,184
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 01/25/2013 DD 01/24/13	(304,724)	304,724
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 02/21/2013 DD 02/20/13	(100,826)	100,826
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 03/21/2013 DD 03/20/13	(1,586,301)	1,586,301

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 04/08/2013 DD 04/05/13	(96,446)	96,446
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 04/16/2013 DD 04/15/13	(132,840)	132,840
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 04/18/2013 DD 04/17/13	(163,161)	163,161
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 05/01/2013 DD 04/30/13	(50,206)	50,206
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 05/02/2013 DD 05/01/13	(282,830)	282,830
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.140% 05/03/2013 DD 05/02/13	(356,787)	356,787
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 02/22/2013 DD 02/21/13	(22,946)	22,946
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 02/25/2013 DD 02/22/13	(42,750)	42,750
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 03/05/2013 DD 03/04/13	(559,310)	559,310
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 03/07/2013 DD 03/06/13	(757,220)	757,220
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 03/08/2013 DD 03/07/13	(793,636)	793,636
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 03/11/2013 DD 03/08/13	(847,733)	847,733
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 04/03/2013 DD 04/02/13	(140,697)	140,697
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 04/11/2013 DD 04/10/13	(18,679)	18,679
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 04/17/2013 DD 04/16/13	(176,345)	176,345
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.150% 10/16/2013 DD 10/15/13	(4,526,266)	4,526,266
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.160% 01/16/2013 DD 01/15/13	(74,169)	74,169
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.160% 02/19/2013 DD 02/15/13	(46,762)	46,762

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.160% 03/01/2013 DD 02/28/13	(275,047)	275,047
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.160% 03/04/2013 DD 03/01/13	(602,688)	602,688
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.160% 04/01/2013 DD 03/28/13	(117,470)	117,470
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.170% 01/16/2013 DD 01/15/13	(62,527)	62,527
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.170% 03/18/2013 DD 03/15/13	(452,669)	452,669
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.170% 04/12/2013 DD 04/11/13	(21,226)	21,226
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.180% 04/02/2013 DD 04/01/13	(353,507)	353,507
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.180% 10/11/2013 DD 10/10/13	(3,054,577)	3,054,577
BNP PARIBAS CAT 1 REPO	BNP PARIBAS CAT 1 REPO 0.180% 10/17/2013 DD 10/16/13	(3,667,391)	3,667,391
BOE INTERMEDIATE HLDNG C 144A	BOE INTERMEDIATE HLDNG C 144A 9.000% 11/01/2017 DD 05/13/13	(44,550)	45,225
BOMBARDIER INC 144A	BOMBARDIER INC 144A 4.250% 01/15/2016 DD 01/14/13	(205,000)	204,488
BON-TON DEPARTMENT STORES INC/	BON-TON DEPARTMENT STORES INC/ 8.000% 06/15/2021 DD 05/28/13	(195,000)	186,225
BOSTON PROPERTIES LP	BOSTON PROPERTIES LP 3.125% 09/01/2023 DD 04/11/13	(556,522)	530,314
BROCADE COMMUNICATIONS SY 144A	BROCADE COMMUNICATIONS SY 144A 4.625% 01/15/2023 DD 01/22/13	(125,000)	122,150
BRUNSWICK CORP/DE 144A	BRUNSWICK CORP/DE 144A 4.625% 05/15/2021 DD 05/13/13	(70,000)	65,450
BURLINGTON HOLDINGS INC / 144A	BURLINGTON HOLDINGS INC / 144A 9.000% 02/15/2018 DD 02/20/13	(88,200)	89,775
BURLINGTON NORTHERN SANTA FE L	BURLINGTON NORTHERN SANTA FE L 4.450% 03/15/2043 DD 03/12/13	(419,992)	379,021
BZW CAT 1 REPO	BZW CAT 1 REPO 0.120% 10/15/2013 DD 10/11/13	(1,505,193)	1,505,193

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 05/30/2013 DD 05/29/13	(120,088)	120,088
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 05/31/2013 DD 05/30/13	(109,031)	109,031
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/11/2013 DD 07/10/13	(76,258)	76,258
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/12/2013 DD 07/11/13	(58,183)	58,183
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/15/2013 DD 07/12/13	(151,905)	151,905
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/17/2013 DD 07/16/13	(215,762)	215,762
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/18/2013 DD 07/17/13	(67,953)	67,953
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/19/2013 DD 07/18/13	(36,938)	36,938
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/22/2013 DD 07/19/13	(179,137)	179,137
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/23/2013 DD 07/22/13	(265,836)	265,836
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/24/2013 DD 07/23/13	(82,097)	82,097
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/25/2013 DD 07/24/13	(328,043)	328,043
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/26/2013 DD 07/25/13	(804,859)	804,859
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/29/2013 DD 07/26/13	(4,369,699)	4,369,699
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/30/2013 DD 07/29/13	(3,740,052)	3,740,052
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 07/31/2013 DD 07/30/13	(4,830,249)	4,830,249
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/20/2013 DD 08/19/13	(627,830)	627,830
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/21/2013 DD 08/20/13	(486,205)	486,205

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/22/2013 DD 08/21/13	(257,452)	257,452
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/23/2013 DD 08/22/13	(451,570)	451,570
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/26/2013 DD 08/23/13	(222,648)	222,648
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/27/2013 DD 08/26/13	(182,472)	182,472
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/28/2013 DD 08/27/13	(91,758)	91,758
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 08/29/2013 DD 08/28/13	(100,256)	100,256
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 09/25/2013 DD 09/24/13	(49,705)	49,705
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.010% 10/24/2013 DD 10/23/13	(1,671,701)	1,671,701
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 01/30/2013 DD 01/29/13	(589,091)	589,091
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 05/21/2013 DD 05/20/13	(71,515)	71,515
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 05/29/2013 DD 05/28/13	(307,777)	307,777
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 06/11/2013 DD 06/10/13	(247,964)	247,964
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 06/12/2013 DD 06/11/13	(84,855)	84,855
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 06/13/2013 DD 06/12/13	(101,714)	101,714
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 06/14/2013 DD 06/13/13	(75,044)	75,044
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 06/24/2013 DD 06/21/13	(28,933)	28,933
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/02/2013 DD 08/01/13	(1,890,803)	1,890,803
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/08/2013 DD 08/07/13	(1,613,559)	1,613,559

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/09/2013 DD 08/08/13	(1,680,270)	1,680,270
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/12/2013 DD 08/09/13	(1,101,721)	1,101,721
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/14/2013 DD 08/13/13	(1,059,948)	1,059,948
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/15/2013 DD 08/14/13	(565,502)	565,502
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/19/2013 DD 08/16/13	(677,727)	677,727
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 08/30/2013 DD 08/29/13	(539,595)	539,595
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/10/2013 DD 09/09/13	(239,198)	239,198
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/11/2013 DD 09/10/13	(208,805)	208,805
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/12/2013 DD 09/11/13	(203,978)	203,978
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/19/2013 DD 09/18/13	(42,504)	42,504
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/23/2013 DD 09/20/13	(28,183)	28,183
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/24/2013 DD 09/23/13	(52,816)	52,816
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/26/2013 DD 09/25/13	(70,370)	70,370
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/27/2013 DD 09/26/13	(40,284)	40,284
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 09/30/2013 DD 09/27/13	(17,299)	17,299
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 10/23/2013 DD 10/22/13	(1,377,527)	1,377,527
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 12/26/2013 DD 12/24/13	(1,416,673)	1,416,673
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 12/27/2013 DD 12/26/13	(1,243,676)	1,243,676

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 12/30/2013 DD 12/27/13	(1,352,056)	1,352,056
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.020% 12/31/2013 DD 12/30/13	(2,964,895)	2,964,895
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 05/20/2013 DD 05/17/13	(17,845)	17,845
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 06/06/2013 DD 06/05/13	(17,237)	17,237
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 06/17/2013 DD 06/14/13	(83,941)	83,941
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 06/21/2013 DD 06/20/13	(84,052)	84,052
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 08/13/2013 DD 08/12/13	(1,350,270)	1,350,270
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 09/06/2013 DD 09/05/13	(150,988)	150,988
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 09/18/2013 DD 09/17/13	(3,578)	3,578
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 10/02/2013 DD 10/01/13	(72,166)	72,166
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 10/22/2013 DD 10/21/13	(1,200,643)	1,200,643
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 10/25/2013 DD 10/24/13	(1,370,402)	1,370,402
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 11/06/2013 DD 11/05/13	(437,464)	437,464
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 11/07/2013 DD 11/06/13	(464,739)	464,739
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 12/12/2013 DD 12/11/13	(94,663)	94,663
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 12/13/2013 DD 12/12/13	(13,799)	13,799
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 12/16/2013 DD 12/13/13	(17,292)	17,292
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.030% 12/24/2013 DD 12/23/13	(775,472)	775,472

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 01/23/2013 DD 01/22/13	(504,759)	504,759
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 01/24/2013 DD 01/23/13	(778,649)	778,649
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 02/06/2013 DD 02/05/13	(95,794)	95,794
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 02/07/2013 DD 02/06/13	(180,446)	180,446
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 05/15/2013 DD 05/14/13	(493,450)	493,450
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 06/07/2013 DD 06/06/13	(54,979)	54,979
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 06/10/2013 DD 06/07/13	(184,993)	184,993
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 06/20/2013 DD 06/19/13	(18,399)	18,399
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 07/03/2013 DD 07/02/13	(18,078)	18,078
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 08/05/2013 DD 08/02/13	(1,882,021)	1,882,021
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 08/06/2013 DD 08/05/13	(1,263,433)	1,263,433
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 08/07/2013 DD 08/06/13	(1,067,025)	1,067,025
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 09/03/2013 DD 08/30/13	(55,569)	55,569
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 09/05/2013 DD 09/04/13	(259,076)	259,076
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 09/09/2013 DD 09/06/13	(216,556)	216,556
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 09/13/2013 DD 09/12/13	(91,942)	91,942
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 09/16/2013 DD 09/13/13	(155,041)	155,041
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 09/17/2013 DD 09/16/13	(85,216)	85,216

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 10/08/2013 DD 10/07/13	(46,497)	46,497
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 10/09/2013 DD 10/08/13	(17,011)	17,011
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 10/28/2013 DD 10/25/13	(1,001,912)	1,001,912
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 10/31/2013 DD 10/30/13	(3,483,868)	3,483,868
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 11/05/2013 DD 11/04/13	(707,663)	707,663
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 11/19/2013 DD 11/18/13	(386,789)	386,789
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 12/16/2013 DD 12/13/13	(13,833)	13,833
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.040% 12/23/2013 DD 12/20/13	(2,784,932)	2,784,932
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 01/23/2013 DD 01/22/13	(372,431)	372,431
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 01/31/2013 DD 01/30/13	(591,383)	591,383
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 02/12/2013 DD 02/11/13	(167,254)	167,254
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 04/24/2013 DD 04/23/13	(143,415)	143,415
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 04/25/2013 DD 04/24/13	(295,381)	295,381
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 05/10/2013 DD 05/09/13	(59,925)	59,925
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 05/16/2013 DD 05/15/13	(41,337)	41,337
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 07/16/2013 DD 07/15/13	(153,908)	153,908
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 09/04/2013 DD 09/03/13	(332,984)	332,984
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 10/07/2013 DD 10/04/13	(51,430)	51,430

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 10/29/2013 DD 10/28/13	(1,136,115)	1,136,115
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 10/30/2013 DD 10/29/13	(3,519,575)	3,519,575
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 11/08/2013 DD 11/07/13	(68,216)	68,216
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 11/14/2013 DD 11/13/13	(87,420)	87,420
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 11/18/2013 DD 11/15/13	(311,457)	311,457
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 11/20/2013 DD 11/19/13	(700,701)	700,701
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 11/21/2013 DD 11/20/13	(160,456)	160,456
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 11/22/2013 DD 11/21/13	(381,028)	381,028
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/05/2013 DD 12/04/13	(128,699)	128,699
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/06/2013 DD 12/05/13	(38,283)	38,283
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/09/2013 DD 12/06/13	(77,525)	77,525
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/10/2013 DD 12/09/13	(50,126)	50,126
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/11/2013 DD 12/10/13	(66,366)	66,366
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/19/2013 DD 12/18/13	(58,774)	58,774
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.050% 12/20/2013 DD 12/19/13	(688,894)	688,894
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 01/11/2013 DD 01/10/13	(98,530)	98,530
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 02/08/2013 DD 02/07/13	(165,737)	165,737
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 02/13/2013 DD 02/12/13	(162,829)	162,829

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 02/27/2013 DD 02/26/13	(132,549)	132,549
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 02/28/2013 DD 02/27/13	(3,316,820)	3,316,820
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 04/30/2013 DD 04/29/13	(291,411)	291,411
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 05/08/2013 DD 05/07/13	(992,836)	992,836
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 05/09/2013 DD 05/08/13	(1,110,416)	1,110,416
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 05/14/2013 DD 05/13/13	(241,919)	241,919
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 11/04/2013 DD 11/01/13	(1,756,530)	1,756,530
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 11/19/2013 DD 11/18/13	(324,705)	324,705
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 11/25/2013 DD 11/22/13	(513,222)	513,222
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 11/26/2013 DD 11/25/13	(537,513)	537,513
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 11/27/2013 DD 11/26/13	(383,077)	383,077
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 11/29/2013 DD 11/27/13	(534,458)	534,458
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.060% 12/04/2013 DD 12/03/13	(86,875)	86,875
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 01/29/2013 DD 01/28/13	(390,244)	390,244
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 03/28/2013 DD 03/27/13	(518,624)	518,624
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 04/29/2013 DD 04/26/13	(216,885)	216,885
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 05/13/2013 DD 05/10/13	(155,645)	155,645
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 07/15/2013 DD 07/12/13	(10,098)	10,098

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 08/01/2013 DD 07/31/13	(3,979,494)	3,979,494
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.070% 12/17/2013 DD 12/16/13	(34,043)	34,043
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 01/16/2013 DD 01/15/13	(114,880)	114,880
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 02/05/2013 DD 02/04/13	(122,847)	122,847
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 02/12/2013 DD 02/11/13	(109,584)	109,584
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 03/14/2013 DD 03/13/13	(689,764)	689,764
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 05/16/2013 DD 05/15/13	(220,607)	220,607
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 06/04/2013 DD 06/03/13	(359,823)	359,823
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 07/02/2013 DD 07/01/13	(60,898)	60,898
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 10/10/2013 DD 10/09/13	(14,287)	14,287
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 11/01/2013 DD 10/31/13	(2,173,809)	2,173,809
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 11/18/2013 DD 11/15/13	(248,835)	248,835
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 11/22/2013 DD 11/21/13	(227,267)	227,267
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.080% 12/03/2013 DD 12/02/13	(256,652)	256,652
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 01/14/2013 DD 01/11/13	(36,244)	36,244
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 01/18/2013 DD 01/17/13	(802,207)	802,207
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 03/27/2013 DD 03/26/13	(286,355)	286,355
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 04/04/2013 DD 04/03/13	(142,274)	142,274

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 04/26/2013 DD 04/25/13	(300,192)	300,192
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 05/07/2013 DD 05/06/13	(1,577,968)	1,577,968
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.090% 06/05/2013 DD 06/04/13	(133,969)	133,969
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 01/07/2013 DD 01/04/13	(16,207)	16,207
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 01/08/2013 DD 01/07/13	(10,745)	10,745
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 01/09/2013 DD 01/08/13	(61,393)	61,393
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 01/25/2013 DD 01/24/13	(443,636)	443,636
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 02/04/2013 DD 02/01/13	(86,112)	86,112
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 02/11/2013 DD 02/08/13	(64,267)	64,267
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 02/14/2013 DD 02/13/13	(85,132)	85,132
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 03/20/2013 DD 03/19/13	(2,535,515)	2,535,515
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.100% 04/23/2013 DD 04/22/13	(230,590)	230,590
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.110% 03/13/2013 DD 03/12/13	(709,714)	709,714
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.110% 03/22/2013 DD 03/21/13	(1,322,432)	1,322,432
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.110% 03/25/2013 DD 03/22/13	(751,616)	751,616
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.110% 10/21/2013 DD 10/18/13	(807,875)	807,875
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 01/08/2013 DD 01/07/13	(11,971)	11,971
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 01/15/2013 DD 01/14/13	(59,416)	59,416

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 01/17/2013 DD 01/16/13	(2,763,890)	2,763,890
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 02/15/2013 DD 02/14/13	(35,818)	35,818
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 02/20/2013 DD 02/19/13	(73,737)	73,737
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 02/26/2013 DD 02/25/13	(48,748)	48,748
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 03/19/2013 DD 03/18/13	(1,303,886)	1,303,886
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 04/05/2013 DD 04/04/13	(5,081)	5,081
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 04/19/2013 DD 04/18/13	(184,882)	184,882
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 04/22/2013 DD 04/19/13	(271,549)	271,549
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.120% 10/18/2013 DD 10/17/13	(1,020,594)	1,020,594
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 01/15/2013 DD 01/14/13	(50,953)	50,953
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 01/28/2013 DD 01/25/13	(362,532)	362,532
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 02/01/2013 DD 01/31/13	(86,359)	86,359
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 03/06/2013 DD 03/05/13	(613,230)	613,230
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 03/12/2013 DD 03/11/13	(1,389,849)	1,389,849
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 03/26/2013 DD 03/25/13	(61,911)	61,911
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 04/09/2013 DD 04/08/13	(145,413)	145,413
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.130% 05/06/2013 DD 05/03/13	(1,520,616)	1,520,616
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 01/07/2013 DD 01/04/13	(15,030)	15,030

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 01/25/2013 DD 01/24/13	(421,669)	421,669
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 02/21/2013 DD 02/20/13	(96,411)	96,411
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 03/20/2013 DD 03/19/13	(2,474,750)	2,474,750
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 03/21/2013 DD 03/20/13	(2,036,068)	2,036,068
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 04/03/2013 DD 04/02/13	(137,915)	137,915
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 04/08/2013 DD 04/05/13	(126,052)	126,052
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 04/10/2013 DD 04/09/13	(124,542)	124,542
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 04/16/2013 DD 04/15/13	(197,058)	197,058
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 04/17/2013 DD 04/16/13	(336,180)	336,180
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 04/18/2013 DD 04/17/13	(233,470)	233,470
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 05/02/2013 DD 05/01/13	(315,735)	315,735
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.140% 05/03/2013 DD 05/02/13	(358,716)	358,716
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 02/22/2013 DD 02/21/13	(21,803)	21,803
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 02/25/2013 DD 02/22/13	(41,904)	41,904
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 03/04/2013 DD 03/01/13	(1,515,016)	1,515,016
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 03/05/2013 DD 03/04/13	(1,561,122)	1,561,122
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 03/07/2013 DD 03/06/13	(971,477)	971,477
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 04/11/2013 DD 04/10/13	(48,135)	48,135

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 04/15/2013 DD 04/12/13	(123,853)	123,853
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 05/01/2013 DD 04/30/13	(55,607)	55,607
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.150% 10/16/2013 DD 10/15/13	(1,707,550)	1,707,550
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.160% 01/04/2013 DD 01/03/13	(194,437)	194,437
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.160% 02/19/2013 DD 02/15/13	(44,426)	44,426
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.160% 03/01/2013 DD 02/28/13	(343,270)	343,270
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.170% 04/12/2013 DD 04/11/13	(47,873)	47,873
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.170% 10/11/2013 DD 10/10/13	(881,470)	881,470
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.170% 10/17/2013 DD 10/16/13	(1,442,757)	1,442,757
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.180% 01/16/2013 DD 01/15/13	(134,896)	134,896
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.180% 03/18/2013 DD 03/15/13	(581,479)	581,479
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.180% 04/02/2013 DD 04/01/13	(1,077)	1,077
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.200% 01/03/2013 DD 01/02/13	(41,998)	41,998
BZW CAT 1 REPO REPO	BZW CAT 1 REPO REPO 0.210% 01/03/2013 DD 01/02/13	(187,954)	187,954
CAFCO LLC DISC	CAFCO LLC DISC 24-Jun-13	(548,615)	548,615
CAFCO LLC DISC	CAFCO LLC DISC 05-Aug-13	(349,137)	349,137
CAPSUGEL SA 144A	CAPSUGEL SA 144A 7.000% 05/15/2019 DD 11/14/13	(100,000)	100,563
CARDINAL HEALTH INC	CARDINAL HEALTH INC 4.600% 03/15/2043 DD 02/22/13	(259,108)	244,150

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CEDAR FAIR LP / CANADA'S 144A	CEDAR FAIR LP / CANADA'S 144A 5.250% 03/15/2021 DD 03/06/13	(255,000)	248,031
CENTURYLINK INC	CENTURYLINK INC 6.750% 12/01/2023 DD 11/27/13	(74,000)	74,925
CERIDIAN CORP 144A	CERIDIAN CORP 144A 11.000% 03/15/2021 DD 03/21/13	(23,000)	24,380
CHARTA LLC DISC	CHARTA LLC DISC 20-Nov-13	(1,197,540)	1,197,540
CHASSIX INC 144A	CHASSIX INC 144A 9.250% 08/01/2018 DD 07/23/13	(69,000)	71,070
CHEMTURA CORP	CHEMTURA CORP 5.750% 07/15/2021 DD 07/23/13	(90,000)	90,075
CHIQUITA BRANDS INTERNATI 144A	CHIQUITA BRANDS INTERNATI 144A 7.875% 02/01/2021 DD 02/05/13	(94,310)	95,594
CHURCHILL DOWNS INC 144A	CHURCHILL DOWNS INC 144A 5.375% 12/15/2021 DD 12/16/13	(105,000)	105,975
CIESCO LLC DISC	CIESCO LLC DISC 12-Aug-13	(678,427)	678,427
CINEMARK USA INC	CINEMARK USA INC 5.125% 12/15/2022 DD 12/18/12	(70,000)	68,025
CINEMARK USA INC 144A	CINEMARK USA INC 144A 4.875% 06/01/2023 DD 05/24/13	(125,000)	117,925
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 05/30/2013 DD 05/29/13	(104,443)	104,443
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 05/31/2013 DD 05/30/13	(96,747)	96,747
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/10/2013 DD 07/09/13	(13,546)	13,546
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/11/2013 DD 07/10/13	(84,461)	84,461
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/12/2013 DD 07/11/13	(57,817)	57,817
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/15/2013 DD 07/12/13	(123,062)	123,062
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/17/2013 DD 07/16/13	(142,838)	142,838

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/18/2013 DD 07/17/13	(63,651)	63,651
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/19/2013 DD 07/18/13	(36,995)	36,995
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/22/2013 DD 07/19/13	(193,167)	193,167
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/23/2013 DD 07/22/13	(311,973)	311,973
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/24/2013 DD 07/23/13	(93,648)	93,648
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/25/2013 DD 07/24/13	(346,029)	346,029
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/29/2013 DD 07/26/13	(2,740,510)	2,740,510
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/30/2013 DD 07/29/13	(2,408,898)	2,408,898
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 07/31/2013 DD 07/30/13	(3,027,847)	3,027,847
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/20/2013 DD 08/19/13	(1,044,814)	1,044,814
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/21/2013 DD 08/20/13	(818,989)	818,989
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/22/2013 DD 08/21/13	(520,742)	520,742
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/23/2013 DD 08/22/13	(900,318)	900,318
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/26/2013 DD 08/23/13	(378,612)	378,612
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/27/2013 DD 08/26/13	(269,892)	269,892
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/28/2013 DD 08/27/13	(137,949)	137,949
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 08/29/2013 DD 08/28/13	(154,208)	154,208
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 09/20/2013 DD 09/19/13	(16,350)	16,350

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 09/24/2013 DD 09/23/13	(75,465)	75,465
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.010% 09/25/2013 DD 09/24/13	(78,980)	78,980
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 01/30/2013 DD 01/29/13	(736,756)	736,756
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 05/24/2013 DD 05/23/13	(10,579)	10,579
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 05/29/2013 DD 05/28/13	(210,602)	210,602
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 06/12/2013 DD 06/11/13	(384,186)	384,186
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 06/13/2013 DD 06/12/13	(422,566)	422,566
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 06/14/2013 DD 06/13/13	(252,316)	252,316
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 06/21/2013 DD 06/20/13	(113,155)	113,155
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 06/24/2013 DD 06/21/13	(39,922)	39,922
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 07/26/2013 DD 07/25/13	(813,579)	813,579
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/02/2013 DD 08/01/13	(2,799,635)	2,799,635
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/08/2013 DD 08/07/13	(2,136,409)	2,136,409
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/09/2013 DD 08/08/13	(2,207,609)	2,207,609
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/12/2013 DD 08/09/13	(1,440,425)	1,440,425
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/14/2013 DD 08/13/13	(1,312,567)	1,312,567
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/15/2013 DD 08/14/13	(722,778)	722,778
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/19/2013 DD 08/16/13	(1,043,694)	1,043,694

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 08/30/2013 DD 08/29/13	(844,578)	844,578
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/10/2013 DD 09/09/13	(394,648)	394,648
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/11/2013 DD 09/10/13	(339,715)	339,715
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/12/2013 DD 09/11/13	(302,937)	302,937
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/19/2013 DD 09/18/13	(72,162)	72,162
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/23/2013 DD 09/20/13	(40,190)	40,190
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/26/2013 DD 09/25/13	(116,764)	116,764
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/27/2013 DD 09/26/13	(67,904)	67,904
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 09/30/2013 DD 09/27/13	(21,367)	21,367
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 10/23/2013 DD 10/22/13	(1,020,257)	1,020,257
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 10/24/2013 DD 10/23/13	(1,324,210)	1,324,210
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 12/30/2013 DD 12/27/13	(960,452)	960,452
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.020% 12/31/2013 DD 12/30/13	(1,500,979)	1,500,979
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 05/20/2013 DD 05/17/13	(13,626)	13,626
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 05/21/2013 DD 05/20/13	(51,162)	51,162
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 06/06/2013 DD 06/05/13	(25,446)	25,446
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 06/11/2013 DD 06/10/13	(283,171)	283,171
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 06/17/2013 DD 06/14/13	(139,049)	139,049

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 06/20/2013 DD 06/19/13	(23,211)	23,211
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 06/25/2013 DD 06/24/13	(12,327)	12,327
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 07/09/2013 DD 07/08/13	(16,169)	16,169
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 08/13/2013 DD 08/12/13	(1,782,290)	1,782,290
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/03/2013 DD 08/30/13	(87,439)	87,439
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/06/2013 DD 09/05/13	(256,053)	256,053
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/09/2013 DD 09/06/13	(353,242)	353,242
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/13/2013 DD 09/12/13	(131,122)	131,122
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/16/2013 DD 09/13/13	(223,585)	223,585
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/17/2013 DD 09/16/13	(136,634)	136,634
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 09/18/2013 DD 09/17/13	(20,566)	20,566
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 10/02/2013 DD 10/01/13	(150,908)	150,908
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 10/03/2013 DD 10/02/13	(21,077)	21,077
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 10/04/2013 DD 10/03/13	(26,507)	26,507
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 10/09/2013 DD 10/08/13	(18,699)	18,699
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 10/22/2013 DD 10/21/13	(864,805)	864,805
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 10/25/2013 DD 10/24/13	(1,061,160)	1,061,160
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 11/06/2013 DD 11/05/13	(512,110)	512,110

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 11/07/2013 DD 11/06/13	(533,608)	533,608
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 12/16/2013 DD 12/13/13	(11,191)	11,191
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 12/24/2013 DD 12/23/13	(364,543)	364,543
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 12/26/2013 DD 12/24/13	(981,581)	981,581
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.030% 12/27/2013 DD 12/26/13	(853,191)	853,191
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 05/15/2013 DD 05/14/13	(364,124)	364,124
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 06/07/2013 DD 06/06/13	(73,751)	73,751
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 06/10/2013 DD 06/07/13	(258,226)	258,226
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 07/03/2013 DD 07/02/13	(29,884)	29,884
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 07/16/2013 DD 07/15/13	(138,284)	138,284
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 08/05/2013 DD 08/02/13	(2,814,061)	2,814,061
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 08/06/2013 DD 08/05/13	(1,976,582)	1,976,582
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 09/05/2013 DD 09/04/13	(440,296)	440,296
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 10/07/2013 DD 10/04/13	(99,087)	99,087
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 10/08/2013 DD 10/07/13	(52,244)	52,244
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 10/28/2013 DD 10/25/13	(734,134)	734,134
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 10/31/2013 DD 10/30/13	(2,364,554)	2,364,554
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 11/05/2013 DD 11/04/13	(869,231)	869,231

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 12/12/2013 DD 12/11/13	(61,655)	61,655
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 12/18/2013 DD 12/17/13	(11,656)	11,656
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.040% 12/23/2013 DD 12/20/13	(1,759,699)	1,759,699
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 01/23/2013 DD 01/22/13	(211,236)	211,236
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 01/31/2013 DD 01/30/13	(446,442)	446,442
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 02/06/2013 DD 02/05/13	(194,097)	194,097
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 02/07/2013 DD 02/06/13	(354,177)	354,177
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 02/12/2013 DD 02/11/13	(172,802)	172,802
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 02/13/2013 DD 02/12/13	(176,938)	176,938
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 02/27/2013 DD 02/26/13	(147,458)	147,458
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 02/28/2013 DD 02/27/13	(1,164,808)	1,164,808
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 04/24/2013 DD 04/23/13	(43,141)	43,141
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 04/25/2013 DD 04/24/13	(89,697)	89,697
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 04/30/2013 DD 04/29/13	(56,050)	56,050
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 05/09/2013 DD 05/08/13	(963,956)	963,956
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 05/10/2013 DD 05/09/13	(40,587)	40,587
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 06/03/2013 DD 05/31/13	(14,101)	14,101
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 07/05/2013 DD 07/03/13	(16,321)	16,321

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 08/07/2013 DD 08/06/13	(1,615,055)	1,615,055
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 09/04/2013 DD 09/03/13	(586,622)	586,622
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 10/01/2013 DD 09/30/13	(12,832)	12,832
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 10/29/2013 DD 10/28/13	(832,289)	832,289
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 10/30/2013 DD 10/29/13	(2,521,682)	2,521,682
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/04/2013 DD 11/01/13	(1,894,767)	1,894,767
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/08/2013 DD 11/07/13	(83,305)	83,305
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/14/2013 DD 11/13/13	(104,248)	104,248
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/20/2013 DD 11/19/13	(220,994)	220,994
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/21/2013 DD 11/20/13	(116,847)	116,847
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/22/2013 DD 11/21/13	(264,229)	264,229
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 11/25/2013 DD 11/22/13	(241,833)	241,833
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/05/2013 DD 12/04/13	(80,321)	80,321
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/06/2013 DD 12/05/13	(25,714)	25,714
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/09/2013 DD 12/06/13	(51,529)	51,529
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/10/2013 DD 12/09/13	(27,646)	27,646
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/11/2013 DD 12/10/13	(43,563)	43,563
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/19/2013 DD 12/18/13	(40,170)	40,170

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.050% 12/20/2013 DD 12/19/13	(450,157)	450,157
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 01/29/2013 DD 01/28/13	(190,127)	190,127
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 02/08/2013 DD 02/07/13	(33,639)	33,639
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 05/13/2013 DD 05/10/13	(99,617)	99,617
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 05/14/2013 DD 05/13/13	(162,813)	162,813
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 06/18/2013 DD 06/17/13	(31,499)	31,499
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 07/08/2013 DD 07/05/13	(13,046)	13,046
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 08/01/2013 DD 07/31/13	(2,799,448)	2,799,448
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 11/19/2013 DD 11/18/13	(254,365)	254,365
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 11/26/2013 DD 11/25/13	(248,945)	248,945
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 11/27/2013 DD 11/26/13	(167,024)	167,024
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 11/29/2013 DD 11/27/13	(214,999)	214,999
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 12/04/2013 DD 12/03/13	(60,046)	60,046
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.060% 12/17/2013 DD 12/16/13	(15,350)	15,350
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 01/11/2013 DD 01/10/13	(13,246)	13,246
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 02/05/2013 DD 02/04/13	(168,727)	168,727
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 03/14/2013 DD 03/13/13	(1,165,775)	1,165,775
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 03/28/2013 DD 03/27/13	(64,453)	64,453

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 04/29/2013 DD 04/26/13	(41,729)	41,729
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 05/08/2013 DD 05/07/13	(644,594)	644,594
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 05/16/2013 DD 05/15/13	(143,261)	143,261
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 06/04/2013 DD 06/03/13	(481,914)	481,914
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 07/02/2013 DD 07/01/13	(133,515)	133,515
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.070% 12/03/2013 DD 12/02/13	(171,880)	171,880
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.080% 03/27/2013 DD 03/26/13	(82,257)	82,257
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.080% 04/26/2013 DD 04/25/13	(97,655)	97,655
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.080% 10/10/2013 DD 10/09/13	(15,860)	15,860
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.080% 11/18/2013 DD 11/15/13	(188,070)	188,070
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.090% 01/18/2013 DD 01/17/13	(464,581)	464,581
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.090% 03/15/2013 DD 03/14/13	(1,760,611)	1,760,611
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.090% 04/04/2013 DD 04/03/13	(279,542)	279,542
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.090% 06/05/2013 DD 06/04/13	(220,017)	220,017
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.090% 11/01/2013 DD 10/31/13	(1,832,709)	1,832,709
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 01/09/2013 DD 01/08/13	(14,878)	14,878
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 01/14/2013 DD 01/11/13	(4,356)	4,356
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 02/04/2013 DD 02/01/13	(150,992)	150,992

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 02/11/2013 DD 02/08/13	(67,112)	67,112
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 02/14/2013 DD 02/13/13	(86,731)	86,731
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 03/22/2013 DD 03/21/13	(116,954)	116,954
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 04/23/2013 DD 04/22/13	(60,953)	60,953
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.100% 05/07/2013 DD 05/06/13	(1,280,306)	1,280,306
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 01/25/2013 DD 01/24/13	(112,477)	112,477
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 01/28/2013 DD 01/25/13	(99,434)	99,434
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 02/15/2013 DD 02/14/13	(35,553)	35,553
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 02/20/2013 DD 02/19/13	(15,722)	15,722
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 02/26/2013 DD 02/25/13	(44,942)	44,942
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 03/13/2013 DD 03/12/13	(1,083,331)	1,083,331
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 03/19/2013 DD 03/18/13	(1,143,666)	1,143,666
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 03/20/2013 DD 03/19/13	(3,011,720)	3,011,720
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.110% 03/25/2013 DD 03/22/13	(246,079)	246,079
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 01/17/2013 DD 01/16/13	(524,341)	524,341
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 03/06/2013 DD 03/05/13	(534,234)	534,234
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 04/05/2013 DD 04/04/13	(5,832)	5,832
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 04/09/2013 DD 04/08/13	(128,098)	128,098

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 04/22/2013 DD 04/19/13	(76,999)	76,999
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 05/06/2013 DD 05/03/13	(1,198,462)	1,198,462
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 10/15/2013 DD 10/11/13	(963,736)	963,736
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.120% 10/21/2013 DD 10/18/13	(1,037,234)	1,037,234
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 01/07/2013 DD 01/04/13	(2,299)	2,299
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 02/01/2013 DD 01/31/13	(47,147)	47,147
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 02/21/2013 DD 02/20/13	(90,730)	90,730
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 03/12/2013 DD 03/11/13	(1,586,253)	1,586,253
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 03/26/2013 DD 03/25/13	(49,222)	49,222
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 05/02/2013 DD 05/01/13	(337,638)	337,638
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 05/03/2013 DD 05/02/13	(235,864)	235,864
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.130% 10/18/2013 DD 10/17/13	(1,429,333)	1,429,333
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 03/07/2013 DD 03/06/13	(1,027,096)	1,027,096
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 03/21/2013 DD 03/20/13	(2,980,468)	2,980,468
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 04/08/2013 DD 04/05/13	(126,583)	126,583
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 04/11/2013 DD 04/10/13	(36,440)	36,440
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 04/17/2013 DD 04/16/13	(131,314)	131,314
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 04/18/2013 DD 04/17/13	(104,808)	104,808

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 05/01/2013 DD 04/30/13	(27,556)	27,556
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.140% 10/16/2013 DD 10/15/13	(2,662,654)	2,662,654
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 02/22/2013 DD 02/21/13	(21,803)	21,803
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 02/25/2013 DD 02/22/13	(37,386)	37,386
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 03/05/2013 DD 03/04/13	(533,184)	533,184
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 03/08/2013 DD 03/07/13	(1,719,232)	1,719,232
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 03/11/2013 DD 03/08/13	(1,920,491)	1,920,491
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 04/01/2013 DD 03/28/13	(50,693)	50,693
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.150% 04/03/2013 DD 04/02/13	(322,277)	322,277
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.160% 02/19/2013 DD 02/15/13	(44,713)	44,713
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.160% 03/01/2013 DD 02/28/13	(368,234)	368,234
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.160% 03/04/2013 DD 03/01/13	(622,718)	622,718
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.170% 01/16/2013 DD 01/15/13	(9,548)	9,548
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.170% 04/12/2013 DD 04/11/13	(27,041)	27,041
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.170% 10/17/2013 DD 10/16/13	(1,086,936)	1,086,936
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.180% 03/18/2013 DD 03/15/13	(819,511)	819,511
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.180% 04/02/2013 DD 04/01/13	(365,658)	365,658
CITIBANK CAT 1 REPO	CITIBANK CAT 1 REPO 0.180% 10/11/2013 DD 10/10/13	(1,461,687)	1,461,687

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CITIGROUP INC	CITIGROUP INC 4.050% 07/30/2022 DD 02/08/13	(311,927)	304,955
CITIGROUP INC	CITIGROUP INC VAR RT 04/29/2049 DD 04/30/13	(385,000)	342,900
CLAIRE'S STORES INC 144A	CLAIRE'S STORES INC 144A 6.125% 03/15/2020 DD 03/15/13	(25,000)	25,250
CLAIRE'S STORES INC 144A	CLAIRE'S STORES INC 144A 7.750% 06/01/2020 DD 05/14/13	(61,000)	60,695
CLEAR CHANNEL COMMUNICATI 144A	CLEAR CHANNEL COMMUNICATI 144A 11.250% 03/01/2021 DD 02/28/13	(125,000)	128,750
CLEARWATER PAPER CORP 144A	CLEARWATER PAPER CORP 144A 4.500% 02/01/2023 DD 01/23/13	(50,000)	50,250
CMS ENERGY CORP	CMS ENERGY CORP 4.700% 03/31/2043 DD 03/22/13	(894,969)	864,945
CNOOC FINANCE 2013 LTD	CNOOC FINANCE 2013 LTD 3.000% 05/09/2023 DD 05/09/13	(201,878)	184,354
CNOOC FINANCE 2013 LTD	CNOOC FINANCE 2013 LTD 4.250% 05/09/2043 DD 05/09/13	(354,654)	309,780
COGECO CABLE INC 144A	COGECO CABLE INC 144A 4.875% 05/01/2020 DD 04/23/13	(122,414)	115,930
COINSTAR INC 144A	COINSTAR INC 144A 6.000% 03/15/2019 DD 03/12/13	(125,000)	121,875
COLLATERALIZED CP DISC	COLLATERALIZED CP DISC 15-Oct-13	(1,058,285)	1,058,285
COMMERCIAL METALS CO	COMMERCIAL METALS CO 4.875% 05/15/2023 DD 05/20/13	(70,000)	70,613
COMMSCOPE HOLDING CO INC 144A	COMMSCOPE HOLDING CO INC 144A 6.625% 06/01/2020 DD 05/28/13	(310,000)	310,388
COMPILER FINANCE SUB INC 144A	COMPILER FINANCE SUB INC 144A 7.000% 05/01/2021 DD 05/09/13	(150,000)	148,875
CONSOLIDATED COMMUNICATIONS FI	CONSOLIDATED COMMUNICATIONS FI 10.875% 06/01/2020 DD 12/01/12	(99,345)	115,750
CONSTELLATION BRANDS INC	CONSTELLATION BRANDS INC 3.750% 05/01/2021 DD 05/14/13	(49,000)	50,103
CONSTELLATION BRANDS INC	CONSTELLATION BRANDS INC 4.250% 05/01/2023 DD 05/14/13	(61,000)	63,516

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CONTINENTAL RESOURCES INC/OK	CONTINENTAL RESOURCES INC/OK 4.500% 04/15/2023 DD 04/05/13	(334,200)	331,850
CONTINENTAL RESOURCES INC/OK	CONTINENTAL RESOURCES INC/OK 5.000% 09/15/2022 DD 03/08/12	(131,925)	135,100
CORP GEO SAB DE CV	CORP GEO SAB DE CV	(611,836)	393,148
CPG MERGER SUB LLC 144A	CPG MERGER SUB LLC 144A 8.000% 10/01/2021 DD 09/30/13	(285,000)	294,844
CRC FDG LLC DISC	CRC FDG LLC DISC 27-Jun-13	(1,284,160)	1,284,160
CREDIT AGRICOLE DISC	CREDIT AGRICOLE DISC 27-Jan-14	(891,778)	894,776
CREDIT AGRICOLE DISC	CREDIT AGRICOLE DISC 12-Jul-13	(598,413)	598,413
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 05/24/2013 DD 05/23/13	(10,987)	10,987
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 05/29/2013 DD 05/28/13	(647,410)	647,410
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 05/30/2013 DD 05/29/13	(329,553)	329,553
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 05/31/2013 DD 05/30/13	(306,187)	306,187
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/10/2013 DD 07/09/13	(12,329)	12,329
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/11/2013 DD 07/10/13	(182,019)	182,019
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/12/2013 DD 07/11/13	(133,205)	133,205
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/15/2013 DD 07/12/13	(315,660)	315,660
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/17/2013 DD 07/16/13	(391,663)	391,663
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/18/2013 DD 07/17/13	(173,782)	173,782
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/19/2013 DD 07/18/13	(92,063)	92,063

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/22/2013 DD 07/19/13	(445,499)	445,499
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/23/2013 DD 07/22/13	(709,163)	709,163
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/24/2013 DD 07/23/13	(213,757)	213,757
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/25/2013 DD 07/24/13	(819,521)	819,521
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/26/2013 DD 07/25/13	(1,743,739)	1,743,739
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/29/2013 DD 07/26/13	(6,719,484)	6,719,484
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/30/2013 DD 07/29/13	(5,734,397)	5,734,397
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 07/31/2013 DD 07/30/13	(7,272,721)	7,272,721
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/21/2013 DD 08/20/13	(1,648,573)	1,648,573
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/22/2013 DD 08/21/13	(1,108,313)	1,108,313
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/23/2013 DD 08/22/13	(1,845,147)	1,845,147
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/26/2013 DD 08/23/13	(812,303)	812,303
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/27/2013 DD 08/26/13	(677,231)	677,231
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/28/2013 DD 08/27/13	(365,108)	365,108
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 08/29/2013 DD 08/28/13	(376,520)	376,520
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 09/25/2013 DD 09/24/13	(202,931)	202,931
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 09/30/2013 DD 09/27/13	(50,827)	50,827
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.010% 10/24/2013 DD 10/23/13	(5,879,544)	5,879,544

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 05/21/2013 DD 05/20/13	(133,794)	133,794
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 06/11/2013 DD 06/10/13	(539,768)	539,768
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 06/12/2013 DD 06/11/13	(685,833)	685,833
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 06/13/2013 DD 06/12/13	(761,497)	761,497
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 06/14/2013 DD 06/13/13	(495,389)	495,389
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 06/21/2013 DD 06/20/13	(263,765)	263,765
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 06/24/2013 DD 06/21/13	(87,337)	87,337
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/02/2013 DD 08/01/13	(5,997,851)	5,997,851
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/09/2013 DD 08/08/13	(4,776,470)	4,776,470
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/12/2013 DD 08/09/13	(2,964,516)	2,964,516
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/13/2013 DD 08/12/13	(3,684,375)	3,684,375
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/14/2013 DD 08/13/13	(3,010,803)	3,010,803
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/15/2013 DD 08/14/13	(1,651,101)	1,651,101
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/19/2013 DD 08/16/13	(2,288,295)	2,288,295
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/20/2013 DD 08/19/13	(2,154,561)	2,154,561
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 08/30/2013 DD 08/29/13	(2,148,504)	2,148,504
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/10/2013 DD 09/09/13	(771,520)	771,520
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/11/2013 DD 09/10/13	(686,876)	686,876

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/12/2013 DD 09/11/13	(615,221)	615,221
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/19/2013 DD 09/18/13	(168,916)	168,916
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/23/2013 DD 09/20/13	(102,642)	102,642
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/24/2013 DD 09/23/13	(188,844)	188,844
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 09/27/2013 DD 09/26/13	(199,205)	199,205
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 10/23/2013 DD 10/22/13	(5,135,128)	5,135,128
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 12/13/2013 DD 12/12/13	(15,565)	15,565
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 12/30/2013 DD 12/27/13	(5,199,184)	5,199,184
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.020% 12/31/2013 DD 12/30/13	(8,280,483)	8,280,483
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 01/30/2013 DD 01/29/13	(2,722,952)	2,722,952
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 05/20/2013 DD 05/17/13	(38,625)	38,625
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 06/17/2013 DD 06/14/13	(296,646)	296,646
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 06/20/2013 DD 06/19/13	(54,586)	54,586
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 07/03/2013 DD 07/02/13	(54,716)	54,716
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 07/09/2013 DD 07/08/13	(27,472)	27,472
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 08/08/2013 DD 08/07/13	(4,662,460)	4,662,460
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 09/06/2013 DD 09/05/13	(477,920)	477,920
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 09/09/2013 DD 09/06/13	(696,008)	696,008

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 09/13/2013 DD 09/12/13	(276,521)	276,521
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 09/16/2013 DD 09/13/13	(477,152)	477,152
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 09/18/2013 DD 09/17/13	(16,671)	16,671
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 09/26/2013 DD 09/25/13	(305,040)	305,040
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 10/02/2013 DD 10/01/13	(322,909)	322,909
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 10/03/2013 DD 10/02/13	(13,902)	13,902
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 10/04/2013 DD 10/03/13	(27,624)	27,624
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 10/22/2013 DD 10/21/13	(4,277,956)	4,277,956
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 10/25/2013 DD 10/24/13	(4,837,811)	4,837,811
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 11/07/2013 DD 11/06/13	(4,003,385)	4,003,385
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 12/12/2013 DD 12/11/13	(369,381)	369,381
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 12/13/2013 DD 12/12/13	(38,616)	38,616
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 12/16/2013 DD 12/13/13	(57,503)	57,503
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 12/24/2013 DD 12/23/13	(2,245,596)	2,245,596
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.030% 12/26/2013 DD 12/24/13	(6,071,116)	6,071,116
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 05/15/2013 DD 05/14/13	(1,246,429)	1,246,429
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 06/06/2013 DD 06/05/13	(52,852)	52,852
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 06/07/2013 DD 06/06/13	(160,291)	160,291

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 06/10/2013 DD 06/07/13	(700,466)	700,466
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 08/05/2013 DD 08/02/13	(6,367,094)	6,367,094
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 08/06/2013 DD 08/05/13	(4,400,406)	4,400,406
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 09/03/2013 DD 08/30/13	(216,225)	216,225
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 09/05/2013 DD 09/04/13	(823,533)	823,533
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 09/17/2013 DD 09/16/13	(308,705)	308,705
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 10/07/2013 DD 10/04/13	(212,796)	212,796
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 10/08/2013 DD 10/07/13	(181,056)	181,056
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 10/09/2013 DD 10/08/13	(64,147)	64,147
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 10/28/2013 DD 10/25/13	(3,717,157)	3,717,157
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 10/31/2013 DD 10/30/13	(12,059,471)	12,059,471
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 11/06/2013 DD 11/05/13	(3,681,693)	3,681,693
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 12/10/2013 DD 12/09/13	(154,659)	154,659
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.040% 12/11/2013 DD 12/10/13	(254,042)	254,042
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 01/23/2013 DD 01/22/13	(848,800)	848,800
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 01/24/2013 DD 01/23/13	(1,308,451)	1,308,451
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 01/31/2013 DD 01/30/13	(3,406,699)	3,406,699
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 02/06/2013 DD 02/05/13	(1,495,178)	1,495,178

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 02/07/2013 DD 02/06/13	(979,012)	979,012
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 02/12/2013 DD 02/11/13	(922,815)	922,815
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 02/27/2013 DD 02/26/13	(682,864)	682,864
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 04/24/2013 DD 04/23/13	(714,819)	714,819
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 04/25/2013 DD 04/24/13	(1,145,171)	1,145,171
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 05/10/2013 DD 05/09/13	(110,664)	110,664
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 07/16/2013 DD 07/15/13	(375,395)	375,395
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 08/07/2013 DD 08/06/13	(3,525,753)	3,525,753
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 09/04/2013 DD 09/03/13	(1,063,050)	1,063,050
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 10/01/2013 DD 09/30/13	(28,971)	28,971
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 10/29/2013 DD 10/28/13	(4,226,314)	4,226,314
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 10/30/2013 DD 10/29/13	(12,801,795)	12,801,795
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 11/05/2013 DD 11/04/13	(5,845,256)	5,845,256
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 11/08/2013 DD 11/07/13	(863,350)	863,350
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 11/14/2013 DD 11/13/13	(893,932)	893,932
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 11/20/2013 DD 11/19/13	(1,944,470)	1,944,470
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 11/21/2013 DD 11/20/13	(1,275,394)	1,275,394
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 11/22/2013 DD 11/21/13	(2,268,224)	2,268,224

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/05/2013 DD 12/04/13	(661,600)	661,600
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/06/2013 DD 12/05/13	(134,835)	134,835
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/09/2013 DD 12/06/13	(240,751)	240,751
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/18/2013 DD 12/17/13	(24,095)	24,095
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/19/2013 DD 12/18/13	(243,002)	243,002
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/20/2013 DD 12/19/13	(2,439,393)	2,439,393
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.050% 12/23/2013 DD 12/20/13	(9,674,093)	9,674,093
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 02/08/2013 DD 02/07/13	(1,011,674)	1,011,674
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 02/13/2013 DD 02/12/13	(894,435)	894,435
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 02/28/2013 DD 02/27/13	(7,385,322)	7,385,322
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 04/30/2013 DD 04/29/13	(1,339,165)	1,339,165
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 05/08/2013 DD 05/07/13	(1,637,092)	1,637,092
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 05/09/2013 DD 05/08/13	(1,839,933)	1,839,933
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 05/13/2013 DD 05/10/13	(390,291)	390,291
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 05/14/2013 DD 05/13/13	(593,621)	593,621
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 06/03/2013 DD 05/31/13	(11,075)	11,075
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 06/18/2013 DD 06/17/13	(68,376)	68,376
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 06/19/2013 DD 06/18/13	(19,604)	19,604

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 08/01/2013 DD 07/31/13	(6,239,751)	6,239,751
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 11/04/2013 DD 11/01/13	(12,121,798)	12,121,798
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 11/19/2013 DD 11/18/13	(2,218,212)	2,218,212
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 11/25/2013 DD 11/22/13	(2,104,998)	2,104,998
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 11/26/2013 DD 11/25/13	(1,977,889)	1,977,889
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 11/27/2013 DD 11/26/13	(1,413,856)	1,413,856
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 12/04/2013 DD 12/03/13	(384,909)	384,909
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.060% 12/17/2013 DD 12/16/13	(85,811)	85,811
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 01/11/2013 DD 01/10/13	(211,143)	211,143
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 01/29/2013 DD 01/28/13	(1,225,482)	1,225,482
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 03/14/2013 DD 03/13/13	(6,109,681)	6,109,681
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 03/28/2013 DD 03/27/13	(8,262,594)	8,262,594
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 04/29/2013 DD 04/26/13	(861,254)	861,254
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 07/02/2013 DD 07/01/13	(248,492)	248,492
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 11/29/2013 DD 11/27/13	(1,902,684)	1,902,684
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.070% 12/02/2013 DD 11/29/13	(26,365)	26,365
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 01/18/2013 DD 01/17/13	(1,335,359)	1,335,359
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 03/27/2013 DD 03/26/13	(4,583,675)	4,583,675

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 04/26/2013 DD 04/25/13	(1,129,927)	1,129,927
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 05/16/2013 DD 05/15/13	(515,154)	515,154
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 06/04/2013 DD 06/03/13	(936,078)	936,078
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 10/10/2013 DD 10/09/13	(54,003)	54,003
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 11/01/2013 DD 10/31/13	(9,973,751)	9,973,751
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.080% 12/03/2013 DD 12/02/13	(1,077,430)	1,077,430
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.090% 01/14/2013 DD 01/11/13	(87,841)	87,841
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.090% 02/05/2013 DD 02/04/13	(1,129,868)	1,129,868
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.090% 04/04/2013 DD 04/03/13	(2,635,404)	2,635,404
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.090% 11/18/2013 DD 11/15/13	(1,842,353)	1,842,353
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 01/25/2013 DD 01/24/13	(944,332)	944,332
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 01/28/2013 DD 01/25/13	(633,199)	633,199
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 02/11/2013 DD 02/08/13	(352,259)	352,259
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 02/14/2013 DD 02/13/13	(449,687)	449,687
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 03/15/2013 DD 03/14/13	(5,646,546)	5,646,546
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 03/20/2013 DD 03/19/13	(21,849,561)	21,849,561
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 04/23/2013 DD 04/22/13	(919,882)	919,882
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 05/07/2013 DD 05/06/13	(2,879,562)	2,879,562

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.100% 06/05/2013 DD 06/04/13	(438,254)	438,254
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 01/08/2013 DD 01/07/13	(45,507)	45,507
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 01/09/2013 DD 01/08/13	(140,473)	140,473
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 01/15/2013 DD 01/14/13	(145,925)	145,925
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 02/04/2013 DD 02/01/13	(1,086,231)	1,086,231
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 02/15/2013 DD 02/14/13	(173,089)	173,089
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 02/20/2013 DD 02/19/13	(159,282)	159,282
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 03/13/2013 DD 03/12/13	(5,898,054)	5,898,054
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 03/22/2013 DD 03/21/13	(11,345,786)	11,345,786
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.110% 03/25/2013 DD 03/22/13	(8,972,796)	8,972,796
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 01/17/2013 DD 01/16/13	(2,728,439)	2,728,439
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 01/28/2013 DD 01/25/13	(747,891)	747,891
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 02/26/2013 DD 02/25/13	(221,848)	221,848
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 03/06/2013 DD 03/05/13	(3,611,196)	3,611,196
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 03/19/2013 DD 03/18/13	(5,907,244)	5,907,244
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 04/05/2013 DD 04/04/13	(94,710)	94,710
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 04/09/2013 DD 04/08/13	(1,180,280)	1,180,280
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 04/19/2013 DD 04/18/13	(1,536,460)	1,536,460

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 04/22/2013 DD 04/19/13	(1,539,607)	1,539,607
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 05/06/2013 DD 05/03/13	(2,382,217)	2,382,217
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 10/15/2013 DD 10/11/13	(5,849,448)	5,849,448
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.120% 10/21/2013 DD 10/18/13	(5,198,496)	5,198,496
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 02/01/2013 DD 01/31/13	(423,156)	423,156
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 02/21/2013 DD 02/20/13	(443,618)	443,618
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 03/12/2013 DD 03/11/13	(8,200,326)	8,200,326
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 03/26/2013 DD 03/25/13	(1,278,005)	1,278,005
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 04/10/2013 DD 04/09/13	(1,218,622)	1,218,622
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 04/18/2013 DD 04/17/13	(1,635,255)	1,635,255
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 05/02/2013 DD 05/01/13	(1,287,782)	1,287,782
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 05/03/2013 DD 05/02/13	(541,846)	541,846
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.130% 10/18/2013 DD 10/17/13	(6,319,682)	6,319,682
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 01/07/2013 DD 01/04/13	(94,521)	94,521
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 03/08/2013 DD 03/07/13	(5,868,868)	5,868,868
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 03/21/2013 DD 03/20/13	(17,261,718)	17,261,718
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 04/01/2013 DD 03/28/13	(1,823,397)	1,823,397
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 04/08/2013 DD 04/05/13	(1,525,600)	1,525,600

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 04/11/2013 DD 04/10/13	(474,587)	474,587
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 04/16/2013 DD 04/15/13	(1,044,640)	1,044,640
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 04/17/2013 DD 04/16/13	(1,359,056)	1,359,056
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 05/01/2013 DD 04/30/13	(157,596)	157,596
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.140% 10/16/2013 DD 10/15/13	(6,419,390)	6,419,390
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.150% 01/04/2013 DD 01/03/13	(153,992)	153,992
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.150% 03/05/2013 DD 03/04/13	(3,994,665)	3,994,665
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.150% 03/07/2013 DD 03/06/13	(5,726,893)	5,726,893
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.150% 03/11/2013 DD 03/08/13	(6,359,644)	6,359,644
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.150% 04/03/2013 DD 04/02/13	(2,419,604)	2,419,604
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.150% 04/15/2013 DD 04/12/13	(667,234)	667,234
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 02/19/2013 DD 02/15/13	(215,552)	215,552
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 02/22/2013 DD 02/21/13	(103,089)	103,089
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 02/25/2013 DD 02/22/13	(184,524)	184,524
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 03/01/2013 DD 02/28/13	(1,954,102)	1,954,102
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 03/04/2013 DD 03/01/13	(5,170,955)	5,170,955
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 04/12/2013 DD 04/11/13	(286,935)	286,935
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.160% 10/17/2013 DD 10/16/13	(5,791,781)	5,791,781

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.170% 01/16/2013 DD 01/15/13	(233,762)	233,762
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.170% 03/18/2013 DD 03/15/13	(3,685,281)	3,685,281
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.170% 10/11/2013 DD 10/10/13	(3,395,196)	3,395,196
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.180% 04/02/2013 DD 04/01/13	(2,042,394)	2,042,394
CREDIT AGRICOLE 1 REPO	CREDIT AGRICOLE 1 REPO 0.200% 01/03/2013 DD 01/02/13	(340,405)	340,405
CROWN AMERICAS LLC / CROW 144A	CROWN AMERICAS LLC / CROW 144A 4.500% 01/15/2023 DD 01/09/13	(340,900)	312,963
CROWN POINT CAP DISC	CROWN POINT CAP DISC 07-May-13	(749,374)	749,374
CROWN POINT CAP DISC	CROWN POINT CAP DISC 07-Aug-13	(1,359,166)	1,359,166
CROWN POINT CAP DISC	CROWN POINT CAP DISC 04-Nov-13	(1,164,338)	1,164,337
CS FOB CAT 1 REPO	CS FOB CAT 1 REPO 0.005% 07/18/2013 DD 07/17/13	(10,792)	10,792
CS FOB CAT 1 REPO	CS FOB CAT 1 REPO 0.005% 07/30/2013 DD 07/29/13	(13,054)	13,054
CS FOB CAT 1 REPO	CS FOB CAT 1 REPO 0.005% 07/31/2013 DD 07/30/13	(34,937)	34,937
CS FOB CAT 1 REPO	CS FOB CAT 1 REPO 0.010% 05/24/2013 DD 05/23/13	(14,435)	14,435
CS FOB CAT 1 REPO	CS FOB CAT 1 REPO 0.010% 08/28/2013 DD 08/27/13	(15,607)	15,607
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.005% 05/30/2013 DD 05/29/13	(18,320)	18,320
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.005% 07/29/2013 DD 07/26/13	(201,181)	201,181
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 07/15/2013 DD 07/12/13	(21,272)	21,272
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 07/26/2013 DD 07/25/13	(104,699)	104,699

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 08/22/2013 DD 08/21/13	(27,128)	27,128
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 08/23/2013 DD 08/22/13	(65,334)	65,334
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 08/26/2013 DD 08/23/13	(32,114)	32,114
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 08/27/2013 DD 08/26/13	(29,140)	29,140
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 08/29/2013 DD 08/28/13	(17,321)	17,321
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 10/24/2013 DD 10/23/13	(159,495)	159,495
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.010% 12/31/2013 DD 12/30/13	(1,628,701)	1,628,701
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 06/12/2013 DD 06/11/13	(66,715)	66,715
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 06/13/2013 DD 06/12/13	(79,922)	79,922
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 06/14/2013 DD 06/13/13	(47,773)	47,773
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 06/21/2013 DD 06/20/13	(25,861)	25,861
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/02/2013 DD 08/01/13	(391,436)	391,436
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/08/2013 DD 08/07/13	(192,398)	192,398
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/09/2013 DD 08/08/13	(235,803)	235,803
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/12/2013 DD 08/09/13	(198,051)	198,051
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/13/2013 DD 08/12/13	(208,787)	208,787
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/14/2013 DD 08/13/13	(196,064)	196,064
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/15/2013 DD 08/14/13	(76,766)	76,766

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/19/2013 DD 08/16/13	(98,410)	98,410
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/20/2013 DD 08/19/13	(53,771)	53,771
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 08/21/2013 DD 08/20/13	(39,221)	39,221
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 10/22/2013 DD 10/21/13	(73,909)	73,909
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 12/12/2013 DD 12/11/13	(82,905)	82,905
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 12/24/2013 DD 12/23/13	(444,909)	444,909
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 12/27/2013 DD 12/26/13	(763,605)	763,605
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.020% 12/30/2013 DD 12/27/13	(1,109,397)	1,109,397
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 05/21/2013 DD 05/20/13	(19,632)	19,632
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 05/29/2013 DD 05/28/13	(101,809)	101,809
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 06/11/2013 DD 06/10/13	(40,501)	40,501
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 06/17/2013 DD 06/14/13	(29,777)	29,777
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 10/25/2013 DD 10/24/13	(146,595)	146,595
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 11/06/2013 DD 11/05/13	(40,773)	40,773
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 11/07/2013 DD 11/06/13	(75,570)	75,570
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 12/16/2013 DD 12/13/13	(16,953)	16,953
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 12/23/2013 DD 12/20/13	(2,326,622)	2,326,622
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.030% 12/26/2013 DD 12/24/13	(1,241,996)	1,241,996

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 05/15/2013 DD 05/14/13	(137,980)	137,980
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 08/06/2013 DD 08/05/13	(275,068)	275,068
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 08/07/2013 DD 08/06/13	(216,429)	216,429
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 10/31/2013 DD 10/30/13	(207,961)	207,961
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 11/05/2013 DD 11/04/13	(29,079)	29,079
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 11/21/2013 DD 11/20/13	(113,176)	113,176
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 12/05/2013 DD 12/04/13	(92,559)	92,559
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 12/11/2013 DD 12/10/13	(59,071)	59,071
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 12/18/2013 DD 12/17/13	(19,899)	19,899
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 12/19/2013 DD 12/18/13	(29,433)	29,433
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.040% 12/20/2013 DD 12/19/13	(606,459)	606,459
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 04/24/2013 DD 04/23/13	(126,584)	126,584
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 04/25/2013 DD 04/24/13	(273,975)	273,975
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 04/30/2013 DD 04/29/13	(242,457)	242,457
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 05/09/2013 DD 05/08/13	(220,361)	220,361
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 05/10/2013 DD 05/09/13	(18,042)	18,042
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 07/05/2013 DD 07/03/13	(15,250)	15,250
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 07/16/2013 DD 07/15/13	(10,105)	10,105

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 08/01/2013 DD 07/31/13	(86,951)	86,951
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 08/05/2013 DD 08/02/13	(4,377,258)	4,377,258
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 10/28/2013 DD 10/25/13	(104,692)	104,692
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 10/29/2013 DD 10/28/13	(105,167)	105,167
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 10/30/2013 DD 10/29/13	(144,718)	144,718
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/04/2013 DD 11/01/13	(296,184)	296,184
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/08/2013 DD 11/07/13	(11,024)	11,024
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/14/2013 DD 11/13/13	(16,000)	16,000
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/20/2013 DD 11/19/13	(180,656)	180,656
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/22/2013 DD 11/21/13	(200,103)	200,103
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/25/2013 DD 11/22/13	(274,219)	274,219
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/27/2013 DD 11/26/13	(147,214)	147,214
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 11/29/2013 DD 11/27/13	(249,823)	249,823
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 12/06/2013 DD 12/05/13	(24,021)	24,021
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 12/09/2013 DD 12/06/13	(70,066)	70,066
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.050% 12/10/2013 DD 12/09/13	(35,406)	35,406
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 04/29/2013 DD 04/26/13	(183,999)	183,999
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 05/08/2013 DD 05/07/13	(258,391)	258,391

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 05/13/2013 DD 05/10/13	(48,587)	48,587
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 05/14/2013 DD 05/13/13	(74,871)	74,871
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 06/03/2013 DD 05/31/13	(12,468)	12,468
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 06/18/2013 DD 06/17/13	(11,795)	11,795
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 11/19/2013 DD 11/18/13	(198,415)	198,415
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 11/26/2013 DD 11/25/13	(285,931)	285,931
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 12/04/2013 DD 12/03/13	(42,084)	42,084
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.060% 12/17/2013 DD 12/16/13	(23,851)	23,851
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.070% 03/28/2013 DD 03/27/13	(859,655)	859,655
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.070% 05/16/2013 DD 05/15/13	(73,136)	73,136
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.070% 12/02/2013 DD 11/29/13	(19,223)	19,223
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.080% 04/26/2013 DD 04/25/13	(337,928)	337,928
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.080% 11/01/2013 DD 10/31/13	(124,222)	124,222
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.080% 11/18/2013 DD 11/15/13	(139,420)	139,420
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.080% 12/03/2013 DD 12/02/13	(263,018)	263,018
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.090% 03/27/2013 DD 03/26/13	(471,641)	471,641
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.100% 03/22/2013 DD 03/21/13	(2,306,575)	2,306,575
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.100% 04/23/2013 DD 04/22/13	(209,216)	209,216

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.100% 05/07/2013 DD 05/06/13	(309,090)	309,090
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.110% 03/25/2013 DD 03/22/13	(1,178,854)	1,178,854
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.110% 10/21/2013 DD 10/18/13	(365,370)	365,370
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.120% 04/05/2013 DD 04/04/13	(1,773)	1,773
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.120% 04/19/2013 DD 04/18/13	(214,176)	214,176
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.120% 04/22/2013 DD 04/19/13	(245,504)	245,504
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.120% 05/06/2013 DD 05/03/13	(268,291)	268,291
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.130% 03/26/2013 DD 03/25/13	(85,010)	85,010
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.130% 04/09/2013 DD 04/08/13	(39,343)	39,343
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.130% 04/10/2013 DD 04/09/13	(186,159)	186,159
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.130% 10/18/2013 DD 10/17/13	(495,530)	495,530
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.140% 04/08/2013 DD 04/05/13	(318,427)	318,427
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.140% 04/11/2013 DD 04/10/13	(76,482)	76,482
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.140% 04/16/2013 DD 04/15/13	(257,973)	257,973
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.140% 04/17/2013 DD 04/16/13	(334,885)	334,885
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.140% 04/18/2013 DD 04/17/13	(283,377)	283,377
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.140% 05/03/2013 DD 05/02/13	(98,724)	98,724
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.150% 04/15/2013 DD 04/12/13	(163,752)	163,752

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.170% 04/12/2013 DD 04/11/13	(60,875)	60,875
CS FOB CAT 1 REPO REPO	CS FOB CAT 1 REPO REPO 0.180% 04/02/2013 DD 04/01/13	(1,724)	1,724
CST BRANDS INC 144A	CST BRANDS INC 144A 5.000% 05/01/2023 DD 05/01/13	(130,000)	123,588
CYRUSONE LP / CYRUSONE FINANCE	CYRUSONE LP / CYRUSONE FINANCE 6.375% 11/15/2022 DD 05/15/13	(60,000)	60,181
DELPHI CORP	DELPHI CORP 5.000% 02/15/2023 DD 02/14/13	(260,000)	273,000
DEUT CAT 1 REPO	DEUT CAT 1 REPO 0.140% 10/15/2013 DD 10/11/13	(1,763,087)	1,763,087
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.005% 07/24/2013 DD 07/23/13	(77,276)	77,276
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 05/30/2013 DD 05/29/13	(74,649)	74,649
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 05/31/2013 DD 05/30/13	(68,141)	68,141
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/11/2013 DD 07/10/13	(66,952)	66,952
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/12/2013 DD 07/11/13	(49,898)	49,898
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/15/2013 DD 07/12/13	(113,222)	113,222
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/17/2013 DD 07/16/13	(191,968)	191,968
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/18/2013 DD 07/17/13	(64,380)	64,380
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/19/2013 DD 07/18/13	(33,958)	33,958
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/22/2013 DD 07/19/13	(164,761)	164,761
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/23/2013 DD 07/22/13	(249,522)	249,522
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/25/2013 DD 07/24/13	(311,347)	311,347

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/29/2013 DD 07/26/13	(2,555,455)	2,555,455
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 07/30/2013 DD 07/29/13	(2,187,241)	2,187,241
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/21/2013 DD 08/20/13	(585,922)	585,922
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/22/2013 DD 08/21/13	(387,277)	387,277
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/23/2013 DD 08/22/13	(661,479)	661,479
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/26/2013 DD 08/23/13	(319,002)	319,002
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/27/2013 DD 08/26/13	(260,888)	260,888
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/28/2013 DD 08/27/13	(136,384)	136,384
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 08/29/2013 DD 08/28/13	(148,053)	148,053
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.010% 10/24/2013 DD 10/23/13	(1,780,625)	1,780,625
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 07/26/2013 DD 07/25/13	(761,359)	761,359
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 07/31/2013 DD 07/30/13	(2,850,294)	2,850,294
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 08/30/2013 DD 08/29/13	(839,684)	839,684
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 09/25/2013 DD 09/24/13	(84,841)	84,841
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 09/30/2013 DD 09/27/13	(22,768)	22,768
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 12/26/2013 DD 12/24/13	(2,733,312)	2,733,312
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 12/30/2013 DD 12/27/13	(2,113,129)	2,113,129
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.020% 12/31/2013 DD 12/30/13	(3,918,561)	3,918,561

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 05/20/2013 DD 05/17/13	(11,737)	11,737
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 05/21/2013 DD 05/20/13	(10,043)	10,043
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 05/29/2013 DD 05/28/13	(165,115)	165,115
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 06/12/2013 DD 06/11/13	(208,995)	208,995
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 06/13/2013 DD 06/12/13	(236,818)	236,818
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 06/14/2013 DD 06/13/13	(152,765)	152,765
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 06/21/2013 DD 06/20/13	(76,019)	76,019
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 06/24/2013 DD 06/21/13	(26,193)	26,193
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/02/2013 DD 08/01/13	(2,565,366)	2,565,366
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/09/2013 DD 08/08/13	(1,979,733)	1,979,733
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/12/2013 DD 08/09/13	(1,268,895)	1,268,895
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/14/2013 DD 08/13/13	(1,291,312)	1,291,312
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/15/2013 DD 08/14/13	(693,638)	693,638
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/19/2013 DD 08/16/13	(828,263)	828,263
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 08/20/2013 DD 08/19/13	(766,632)	766,632
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/11/2013 DD 09/10/13	(337,404)	337,404
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/12/2013 DD 09/11/13	(310,694)	310,694
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/19/2013 DD 09/18/13	(81,966)	81,966

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/23/2013 DD 09/20/13	(44,701)	44,701
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/24/2013 DD 09/23/13	(81,409)	81,409
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/26/2013 DD 09/25/13	(127,162)	127,162
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 09/27/2013 DD 09/26/13	(72,404)	72,404
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 10/23/2013 DD 10/22/13	(1,496,309)	1,496,309
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 10/25/2013 DD 10/24/13	(1,453,095)	1,453,095
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 12/13/2013 DD 12/12/13	(18,803)	18,803
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 12/16/2013 DD 12/13/13	(31,996)	31,996
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 12/24/2013 DD 12/23/13	(840,285)	840,285
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.030% 12/27/2013 DD 12/26/13	(2,476,569)	2,476,569
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 06/11/2013 DD 06/10/13	(154,637)	154,637
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 06/17/2013 DD 06/14/13	(90,203)	90,203
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 08/08/2013 DD 08/07/13	(1,870,021)	1,870,021
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 08/13/2013 DD 08/12/13	(1,559,120)	1,559,120
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 09/06/2013 DD 09/05/13	(245,541)	245,541
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 09/10/2013 DD 09/09/13	(386,449)	386,449
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 09/13/2013 DD 09/12/13	(135,785)	135,785
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 09/16/2013 DD 09/13/13	(239,858)	239,858

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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 YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 10/02/2013 DD 10/01/13	(82,395)	82,395
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 10/22/2013 DD 10/21/13	(1,290,492)	1,290,492
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.040% 12/12/2013 DD 12/11/13	(192,577)	192,577
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 05/15/2013 DD 05/14/13	(16,862)	16,862
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 06/10/2013 DD 06/07/13	(116,130)	116,130
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 08/05/2013 DD 08/02/13	(2,494,722)	2,494,722
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 08/06/2013 DD 08/05/13	(1,735,975)	1,735,975
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 09/03/2013 DD 08/30/13	(86,103)	86,103
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 09/05/2013 DD 09/04/13	(425,263)	425,263
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 09/09/2013 DD 09/06/13	(352,615)	352,615
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 09/17/2013 DD 09/16/13	(153,364)	153,364
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 10/07/2013 DD 10/04/13	(57,432)	57,432
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 10/08/2013 DD 10/07/13	(53,609)	53,609
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 10/09/2013 DD 10/08/13	(19,591)	19,591
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 10/28/2013 DD 10/25/13	(1,060,449)	1,060,449
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 11/05/2013 DD 11/04/13	(1,126,333)	1,126,333
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 11/06/2013 DD 11/05/13	(692,080)	692,080
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 11/07/2013 DD 11/06/13	(732,059)	732,059

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.050% 12/11/2013 DD 12/10/13	(136,433)	136,433
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 01/31/2013 DD 01/30/13	(8,511)	8,511
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 04/25/2013 DD 04/24/13	(17,590)	17,590
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 06/06/2013 DD 06/05/13	(10,783)	10,783
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 06/07/2013 DD 06/06/13	(34,185)	34,185
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 06/20/2013 DD 06/19/13	(16,688)	16,688
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 07/03/2013 DD 07/02/13	(13,095)	13,095
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 07/16/2013 DD 07/15/13	(146,403)	146,403
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 08/07/2013 DD 08/06/13	(1,449,045)	1,449,045
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 09/04/2013 DD 09/03/13	(552,135)	552,135
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 10/29/2013 DD 10/28/13	(1,210,061)	1,210,061
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 10/30/2013 DD 10/29/13	(3,768,076)	3,768,076
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 10/31/2013 DD 10/30/13	(3,737,248)	3,737,248
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 11/14/2013 DD 11/13/13	(164,647)	164,647
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 11/21/2013 DD 11/20/13	(281,143)	281,143
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 11/22/2013 DD 11/21/13	(705,568)	705,568
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 12/06/2013 DD 12/05/13	(27,445)	27,445
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 12/09/2013 DD 12/06/13	(126,843)	126,843

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 12/10/2013 DD 12/09/13	(81,883)	81,883
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 12/19/2013 DD 12/18/13	(100,189)	100,189
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 12/20/2013 DD 12/19/13	(1,082,536)	1,082,536
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.060% 12/23/2013 DD 12/20/13	(4,122,991)	4,122,991
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 01/23/2013 DD 01/22/13	(10,818)	10,818
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 02/12/2013 DD 02/11/13	(21,928)	21,928
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 02/13/2013 DD 02/12/13	(19,777)	19,777
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 05/14/2013 DD 05/13/13	(21,317)	21,317
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 06/18/2013 DD 06/17/13	(21,131)	21,131
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/04/2013 DD 11/01/13	(2,799,744)	2,799,744
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/08/2013 DD 11/07/13	(107,677)	107,677
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/20/2013 DD 11/19/13	(511,800)	511,800
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/25/2013 DD 11/22/13	(674,144)	674,144
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/26/2013 DD 11/25/13	(680,847)	680,847
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/27/2013 DD 11/26/13	(488,990)	488,990
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 11/29/2013 DD 11/27/13	(618,709)	618,709
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 12/05/2013 DD 12/04/13	(210,435)	210,435
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.070% 12/17/2013 DD 12/16/13	(38,259)	38,259

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.080% 05/13/2013 DD 05/10/13	(16,852)	16,852
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.080% 08/01/2013 DD 07/31/13	(2,371,356)	2,371,356
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.080% 11/19/2013 DD 11/18/13	(552,653)	552,653
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.080% 12/04/2013 DD 12/03/13	(141,625)	141,625
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.090% 05/08/2013 DD 05/07/13	(19,271)	19,271
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.090% 05/16/2013 DD 05/15/13	(16,448)	16,448
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.090% 06/04/2013 DD 06/03/13	(205,545)	205,545
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.090% 06/05/2013 DD 06/04/13	(82,895)	82,895
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.090% 07/02/2013 DD 07/01/13	(55,132)	55,132
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.090% 12/03/2013 DD 12/02/13	(445,131)	445,131
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.100% 02/08/2013 DD 02/07/13	(101,852)	101,852
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.100% 10/10/2013 DD 10/09/13	(16,363)	16,363
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.100% 11/01/2013 DD 10/31/13	(2,356,273)	2,356,273
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.100% 11/18/2013 DD 11/15/13	(431,809)	431,809
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.120% 01/25/2013 DD 01/24/13	(3,735)	3,735
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.120% 02/11/2013 DD 02/08/13	(3,561)	3,561
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.120% 02/14/2013 DD 02/13/13	(1,936)	1,936
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.120% 04/23/2013 DD 04/22/13	(22,832)	22,832

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.130% 04/22/2013 DD 04/19/13	(14,246)	14,246
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.130% 10/21/2013 DD 10/18/13	(1,070,562)	1,070,562
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.140% 02/15/2013 DD 02/14/13	(1,521)	1,521
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.140% 02/20/2013 DD 02/19/13	(1,753)	1,753
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.140% 02/26/2013 DD 02/25/13	(3,069)	3,069
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.140% 04/09/2013 DD 04/08/13	(11,118)	11,118
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.140% 05/03/2013 DD 05/02/13	(18,934)	18,934
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.140% 10/18/2013 DD 10/17/13	(1,343,422)	1,343,422
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.150% 02/21/2013 DD 02/20/13	(2,278)	2,278
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.150% 03/06/2013 DD 03/05/13	(30,749)	30,749
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.150% 03/26/2013 DD 03/25/13	(2,178)	2,178
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.160% 01/07/2013 DD 01/04/13	(1,338)	1,338
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.170% 03/05/2013 DD 03/04/13	(12,984)	12,984
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.170% 04/08/2013 DD 04/05/13	(18,458)	18,458
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.170% 10/16/2013 DD 10/15/13	(1,985,224)	1,985,224
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.180% 02/19/2013 DD 02/15/13	(2,863)	2,863
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.180% 02/25/2013 DD 02/22/13	(1,307)	1,307
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.180% 03/01/2013 DD 02/28/13	(20,614)	20,614

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.180% 04/12/2013 DD 04/11/13	(4,549)	4,549
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.190% 10/17/2013 DD 10/16/13	(1,622,496)	1,622,496
DEUT CAT 1 REPO REPO	DEUT CAT 1 REPO REPO 0.200% 10/11/2013 DD 10/10/13	(1,832,555)	1,832,555
DEUT CAT 3 REPO REPO	DEUT CAT 3 REPO REPO 0.100% 02/28/2013 DD 02/27/13	(3,092,918)	3,092,918
DEUT CAT 5 REPO REPO	DEUT CAT 5 REPO REPO 0.160% 02/01/2013 DD 01/31/13	(1,080,228)	1,080,228
DISH DBS CORP	DISH DBS CORP 4.250% 04/01/2018 DD 04/05/13	(409,425)	417,613
DNB NOR BANK DISC	DNB NOR BANK DISC 09-Sep-13	(1,198,419)	1,198,419
DOLLAR GENERAL CORP	DOLLAR GENERAL CORP 3.250% 04/15/2023 DD 04/11/13	(553,540)	536,890
DOLPHIN INTERCONNECT SOLUTIONS	DOLPHIN INTERCONNECT SOLUTIONS	(187,265)	128,436
DOMINION RESOURCES INC/VA	DOMINION RESOURCES INC/VA 5.950% 06/15/2035 DD 06/20/05	(850,715)	824,315
EAGLE ROCK ENERGY PARTNERS LP	EAGLE ROCK ENERGY PARTNERS LP 8.375% 06/01/2019 DD 12/01/11	(108,351)	116,625
EAGLE SPINCO INC 144A	EAGLE SPINCO INC 144A 4.625% 02/15/2021 DD 01/30/13	(55,000)	55,413
EARTHLINK INC	EARTHLINK INC 7.375% 06/01/2020 DD 05/29/13	(115,000)	114,138
EARTHLINK INC 144A	EARTHLINK INC 144A 7.375% 06/01/2020 DD 05/29/13	(25,000)	25,250
EDP ENERGIAS PORTUGAL	EDP ENERGIAS PORTUGAL EUR1(REGD)	(263,091)	317,792
ENDO FINANCE CO 144A	ENDO FINANCE CO 144A 5.750% 01/15/2022 DD 12/19/13	(74,000)	74,158
ENERGY FUTURE INTERMEDIAT 144A	ENERGY FUTURE INTERMEDIAT 144A 10.000% 12/01/2020 DD 01/29/13	(460,500)	422,500
ENERGY XXI GULF COAST 144A	ENERGY XXI GULF COAST 144A 7.500% 12/15/2021 DD 09/26/13	(145,000)	145,125

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
EP ENERGY LLC / EVEREST ACQUIS	EP ENERGY LLC / EVEREST ACQUIS 7.750% 09/01/2022 DD 08/13/12	(289,006)	292,850
EQUINIX INC	EQUINIX INC 4.875% 04/01/2020 DD 03/05/13	(120,000)	114,650
EQUINIX INC	EQUINIX INC 5.375% 04/01/2023 DD 03/05/13	(60,000)	62,400
ERP OPERATING LP	ERP OPERATING LP 3.000% 04/15/2023 DD 04/10/13	(396,440)	382,912
EXOPACK HOLDINGS SA	EXOPACK HOLDINGS SA 7.875% 11/01/2019 DD 11/08/13	(250,000)	253,050
EXTERRAN PARTNERS LP / EX 144A	EXTERRAN PARTNERS LP / EX 144A 6.000% 04/01/2021 DD 03/27/13	(154,083)	152,481
FELCOR LODGING LP	FELCOR LODGING LP 5.625% 03/01/2023 DD 03/01/13	(205,000)	198,908
FIDELITY NATIONAL INFORMATION	FIDELITY NATIONAL INFORMATION 3.500% 04/15/2023 DD 04/15/13	(332,347)	318,012
FORD MOTOR CO	FORD MOTOR CO 4.750% 01/15/2043 DD 01/08/13	(788,749)	740,042
FREEPORT-MCMORAN COPPER & 144A	FREEPORT-MCMORAN COPPER & 144A 5.450% 03/15/2043 DD 03/07/13	(428,039)	399,345
FREESCALE SEMICONDUCTOR I 144A	FREESCALE SEMICONDUCTOR I 144A 6.000% 01/15/2022 DD 11/01/13	(305,300)	307,288
FRONTIER COMMUNICATIONS CORP	FRONTIER COMMUNICATIONS CORP 7.625% 04/15/2024 DD 04/10/13	(205,000)	211,188
GARDA WORLD SECURITY COR 144A	GARDA WORLD SECURITY COR 144A 7.250% 11/15/2021 DD 11/08/13	(44,000)	44,495
GEMINI SECR DISC	GEMINI SECR DISC 16-Dec-13	(1,199,370)	1,199,915
GENERAL ELEC CAP DISC	GENERAL ELEC CAP DISC 10-Jul-13	(649,346)	649,346
GENERAL MOTORS FINANCIAL 144A	GENERAL MOTORS FINANCIAL 144A 4.250% 05/15/2023 DD 05/14/13	(45,000)	43,425
GENESIS ENERGY LP / GENES 144A	GENESIS ENERGY LP / GENES 144A 5.750% 02/15/2021 DD 02/08/13	(70,000)	71,050
GENWORTH HOLDINGS INC	GENWORTH HOLDINGS INC 7.200% 02/15/2021 DD 11/22/10	(124,438)	119,889

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GIBRALTAR INDUSTRIES INC	GIBRALTAR INDUSTRIES INC STEP 02/01/2021 DD 08/01/2013	(105,000)	108,488
GOTHAM FDG CORP DISC	GOTHAM FDG CORP DISC 18-Jun-13	(2,699,292)	2,699,291
GOVCO LLC DISC	GOVCO LLC DISC 17-Jan-14	(998,087)	999,741
GOVCO LLC DISC	GOVCO LLC DISC 02-Aug-13	(364,152)	364,152
GOVCO LLC DISC	GOVCO LLC DISC 19-Aug-13	(289,366)	289,366
GRAY TELEVISION INC 144A	GRAY TELEVISION INC 144A 7.500% 10/01/2020 DD 10/01/13	(78,636)	81,061
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 05/30/2013 DD 05/29/13	(212,425)	212,425
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 05/31/2013 DD 05/30/13	(206,957)	206,957
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 07/19/2013 DD 07/18/13	(61,164)	61,164
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 07/22/2013 DD 07/19/13	(324,076)	324,076
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 07/23/2013 DD 07/22/13	(545,995)	545,995
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 07/24/2013 DD 07/23/13	(163,647)	163,647
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 08/22/2013 DD 08/21/13	(626,408)	626,408
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 08/23/2013 DD 08/22/13	(1,170,227)	1,170,227
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.005% 08/29/2013 DD 08/28/13	(218,633)	218,633
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 06/14/2013 DD 06/13/13	(350,815)	350,815
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/11/2013 DD 07/10/13	(133,484)	133,484
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/12/2013 DD 07/11/13	(94,486)	94,486

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/15/2013 DD 07/12/13	(218,502)	218,502
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/17/2013 DD 07/16/13	(256,238)	256,238
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/18/2013 DD 07/17/13	(113,767)	113,767
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/25/2013 DD 07/24/13	(621,019)	621,019
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/26/2013 DD 07/25/13	(1,284,993)	1,284,993
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/29/2013 DD 07/26/13	(4,857,275)	4,857,275
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/30/2013 DD 07/29/13	(4,691,150)	4,691,150
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 07/31/2013 DD 07/30/13	(5,967,174)	5,967,174
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 08/20/2013 DD 08/19/13	(1,326,184)	1,326,184
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 08/21/2013 DD 08/20/13	(989,817)	989,817
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 08/26/2013 DD 08/23/13	(525,987)	525,987
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 08/27/2013 DD 08/26/13	(387,347)	387,347
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 08/28/2013 DD 08/27/13	(199,910)	199,910
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 09/11/2013 DD 09/10/13	(359,486)	359,486
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 09/23/2013 DD 09/20/13	(45,131)	45,131
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 09/24/2013 DD 09/23/13	(81,924)	81,924
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 09/25/2013 DD 09/24/13	(86,239)	86,239
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 09/30/2013 DD 09/27/13	(22,722)	22,722

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.010% 10/24/2013 DD 10/23/13	(3,635,182)	3,635,182
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 01/30/2013 DD 01/29/13	(1,112,187)	1,112,187
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 05/20/2013 DD 05/17/13	(20,134)	20,134
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 05/21/2013 DD 05/20/13	(73,561)	73,561
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 05/29/2013 DD 05/28/13	(439,942)	439,942
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 06/11/2013 DD 06/10/13	(369,336)	369,336
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 06/12/2013 DD 06/11/13	(496,372)	496,372
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 06/13/2013 DD 06/12/13	(552,971)	552,971
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 06/17/2013 DD 06/14/13	(203,363)	203,363
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 06/21/2013 DD 06/20/13	(184,535)	184,535
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 06/24/2013 DD 06/21/13	(59,512)	59,512
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/02/2013 DD 08/01/13	(4,656,762)	4,656,762
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/08/2013 DD 08/07/13	(3,440,677)	3,440,677
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/09/2013 DD 08/08/13	(3,694,160)	3,694,160
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/12/2013 DD 08/09/13	(2,335,046)	2,335,046
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/13/2013 DD 08/12/13	(2,849,577)	2,849,577
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/14/2013 DD 08/13/13	(2,198,173)	2,198,173
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/15/2013 DD 08/14/13	(1,176,892)	1,176,892

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/19/2013 DD 08/16/13	(1,387,934)	1,387,934
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 08/30/2013 DD 08/29/13	(1,462,236)	1,462,236
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 09/06/2013 DD 09/05/13	(276,230)	276,230
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 09/10/2013 DD 09/09/13	(425,698)	425,698
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 09/12/2013 DD 09/11/13	(329,883)	329,883
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 09/26/2013 DD 09/25/13	(130,515)	130,515
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 09/27/2013 DD 09/26/13	(73,345)	73,345
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 10/23/2013 DD 10/22/13	(3,030,138)	3,030,138
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.020% 10/25/2013 DD 10/24/13	(2,992,734)	2,992,734
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 02/07/2013 DD 02/06/13	(829,268)	829,268
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 06/06/2013 DD 06/05/13	(35,139)	35,139
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 06/07/2013 DD 06/06/13	(105,721)	105,721
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 06/10/2013 DD 06/07/13	(344,779)	344,779
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 06/20/2013 DD 06/19/13	(38,375)	38,375
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 07/03/2013 DD 07/02/13	(42,945)	42,945
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 07/09/2013 DD 07/08/13	(13,733)	13,733
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 09/05/2013 DD 09/04/13	(479,939)	479,939
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 09/09/2013 DD 09/06/13	(398,297)	398,297

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 09/13/2013 DD 09/12/13	(142,021)	142,021
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 09/16/2013 DD 09/13/13	(251,703)	251,703
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 09/17/2013 DD 09/16/13	(129,366)	129,366
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 09/19/2013 DD 09/18/13	(71,823)	71,823
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 10/02/2013 DD 10/01/13	(150,238)	150,238
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 10/04/2013 DD 10/03/13	(12,525)	12,525
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 10/07/2013 DD 10/04/13	(95,320)	95,320
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 10/09/2013 DD 10/08/13	(34,767)	34,767
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 10/22/2013 DD 10/21/13	(2,462,243)	2,462,243
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 11/06/2013 DD 11/05/13	(1,198,889)	1,198,889
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.030% 11/07/2013 DD 11/06/13	(1,247,134)	1,247,134
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 01/23/2013 DD 01/22/13	(707,730)	707,730
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 01/24/2013 DD 01/23/13	(1,255,912)	1,255,912
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 02/06/2013 DD 02/05/13	(625,125)	625,125
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 04/24/2013 DD 04/23/13	(142,474)	142,474
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 04/25/2013 DD 04/24/13	(285,134)	285,134
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 05/09/2013 DD 05/08/13	(1,338,589)	1,338,589
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 05/10/2013 DD 05/09/13	(71,559)	71,559

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 05/15/2013 DD 05/14/13	(617,380)	617,380
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 07/16/2013 DD 07/15/13	(265,042)	265,042
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 08/05/2013 DD 08/02/13	(4,492,700)	4,492,700
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 08/06/2013 DD 08/05/13	(3,226,530)	3,226,530
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 08/07/2013 DD 08/06/13	(2,631,427)	2,631,427
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 09/03/2013 DD 08/30/13	(135,796)	135,796
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 09/04/2013 DD 09/03/13	(683,368)	683,368
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 10/08/2013 DD 10/07/13	(88,867)	88,867
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 10/28/2013 DD 10/25/13	(2,107,160)	2,107,160
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 10/31/2013 DD 10/30/13	(7,162,478)	7,162,478
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.040% 11/05/2013 DD 11/04/13	(1,910,884)	1,910,884
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 01/31/2013 DD 01/30/13	(1,236,743)	1,236,743
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 02/08/2013 DD 02/07/13	(440,701)	440,701
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 02/12/2013 DD 02/11/13	(409,094)	409,094
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 02/13/2013 DD 02/12/13	(407,172)	407,172
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 02/27/2013 DD 02/26/13	(311,110)	311,110
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 02/28/2013 DD 02/27/13	(4,161,711)	4,161,711
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 04/30/2013 DD 04/29/13	(300,236)	300,236

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 05/08/2013 DD 05/07/13	(1,158,327)	1,158,327
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 05/14/2013 DD 05/13/13	(291,639)	291,639
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 10/29/2013 DD 10/28/13	(2,401,258)	2,401,258
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 10/30/2013 DD 10/29/13	(7,526,417)	7,526,417
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 11/04/2013 DD 11/01/13	(5,784,350)	5,784,350
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.050% 11/08/2013 DD 11/07/13	(157,177)	157,177
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 01/11/2013 DD 01/10/13	(122,480)	122,480
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 01/24/2013 DD 01/23/13	(678,744)	678,744
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 01/29/2013 DD 01/28/13	(626,573)	626,573
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 03/14/2013 DD 03/13/13	(2,934,275)	2,934,275
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 03/28/2013 DD 03/27/13	(1,842,980)	1,842,980
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 04/29/2013 DD 04/26/13	(214,358)	214,358
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 05/13/2013 DD 05/10/13	(181,483)	181,483
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 06/18/2013 DD 06/17/13	(46,539)	46,539
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 06/19/2013 DD 06/18/13	(12,864)	12,864
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.060% 08/01/2013 DD 07/31/13	(4,992,756)	4,992,756
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.070% 02/08/2013 DD 02/07/13	(231,544)	231,544
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.070% 05/16/2013 DD 05/15/13	(267,164)	267,164

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.070% 06/04/2013 DD 06/03/13	(734,178)	734,178
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.070% 07/02/2013 DD 07/01/13	(210,641)	210,641
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 01/18/2013 DD 01/17/13	(1,228,021)	1,228,021
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 02/05/2013 DD 02/04/13	(393,670)	393,670
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 02/28/2013 DD 02/27/13	(682,272)	682,272
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 03/15/2013 DD 03/14/13	(2,604,255)	2,604,255
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 03/27/2013 DD 03/26/13	(1,206,253)	1,206,253
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 04/04/2013 DD 04/03/13	(562,921)	562,921
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 04/26/2013 DD 04/25/13	(296,653)	296,653
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 06/05/2013 DD 06/04/13	(333,545)	333,545
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 10/10/2013 DD 10/09/13	(28,601)	28,601
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.080% 11/01/2013 DD 10/31/13	(4,833,826)	4,833,826
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.090% 01/14/2013 DD 01/11/13	(48,427)	48,427
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.090% 05/07/2013 DD 05/06/13	(1,705,262)	1,705,262
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 01/08/2013 DD 01/07/13	(11,556)	11,556
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 01/09/2013 DD 01/08/13	(57,953)	57,953
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 01/25/2013 DD 01/24/13	(816,001)	816,001
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 02/04/2013 DD 02/01/13	(341,019)	341,019

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 02/11/2013 DD 02/08/13	(141,793)	141,793
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 02/14/2013 DD 02/13/13	(191,696)	191,696
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 02/15/2013 DD 02/14/13	(80,788)	80,788
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 02/20/2013 DD 02/19/13	(83,016)	83,016
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 03/20/2013 DD 03/19/13	(9,076,801)	9,076,801
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 03/22/2013 DD 03/21/13	(4,135,800)	4,135,800
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 03/25/2013 DD 03/22/13	(2,392,415)	2,392,415
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 04/05/2013 DD 04/04/13	(9,715)	9,715
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.100% 04/23/2013 DD 04/22/13	(220,055)	220,055
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 01/15/2013 DD 01/14/13	(76,691)	76,691
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 02/26/2013 DD 02/25/13	(109,742)	109,742
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 03/13/2013 DD 03/12/13	(2,875,889)	2,875,889
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 03/19/2013 DD 03/18/13	(2,700,524)	2,700,524
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 04/09/2013 DD 04/08/13	(220,965)	220,965
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 04/19/2013 DD 04/18/13	(242,096)	242,096
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 04/22/2013 DD 04/19/13	(268,190)	268,190
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.110% 10/15/2013 DD 10/11/13	(3,852,954)	3,852,954
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 01/17/2013 DD 01/16/13	(2,542,957)	2,542,957

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 02/01/2013 DD 01/31/13	(136,300)	136,300
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 03/06/2013 DD 03/05/13	(1,326,309)	1,326,309
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 03/21/2013 DD 03/20/13	(6,430,907)	6,430,907
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 05/06/2013 DD 05/03/13	(1,670,327)	1,670,327
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 10/18/2013 DD 10/17/13	(3,844,984)	3,844,984
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.120% 10/21/2013 DD 10/18/13	(3,084,024)	3,084,024
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 01/28/2013 DD 01/25/13	(625,459)	625,459
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 02/21/2013 DD 02/20/13	(223,631)	223,631
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 03/12/2013 DD 03/11/13	(3,918,582)	3,918,582
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 03/26/2013 DD 03/25/13	(205,145)	205,145
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 04/10/2013 DD 04/09/13	(176,835)	176,835
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 04/11/2013 DD 04/10/13	(73,000)	73,000
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 04/17/2013 DD 04/16/13	(370,934)	370,934
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 04/18/2013 DD 04/17/13	(320,149)	320,149
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.130% 05/02/2013 DD 05/01/13	(354,430)	354,430
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 01/07/2013 DD 01/04/13	(23,061)	23,061
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 03/07/2013 DD 03/06/13	(2,390,837)	2,390,837
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 03/08/2013 DD 03/07/13	(2,742,367)	2,742,367

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 04/03/2013 DD 04/02/13	(832,612)	832,612
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 04/08/2013 DD 04/05/13	(323,776)	323,776
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 04/15/2013 DD 04/12/13	(175,086)	175,086
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 04/16/2013 DD 04/15/13	(280,810)	280,810
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 05/01/2013 DD 04/30/13	(68,808)	68,808
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.140% 05/03/2013 DD 05/02/13	(384,873)	384,873
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.150% 02/19/2013 DD 02/15/13	(97,056)	97,056
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.150% 02/22/2013 DD 02/21/13	(49,735)	49,735
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.150% 02/25/2013 DD 02/22/13	(90,925)	90,925
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.150% 03/05/2013 DD 03/04/13	(2,107,825)	2,107,825
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.150% 03/11/2013 DD 03/08/13	(2,903,464)	2,903,464
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.150% 10/16/2013 DD 10/15/13	(4,389,319)	4,389,319
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.160% 01/16/2013 DD 01/15/13	(195,667)	195,667
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.160% 03/01/2013 DD 02/28/13	(920,360)	920,360
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.160% 03/04/2013 DD 03/01/13	(2,969,899)	2,969,899
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.160% 03/18/2013 DD 03/15/13	(1,642,838)	1,642,838
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.160% 04/12/2013 DD 04/11/13	(71,664)	71,664
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.170% 04/01/2013 DD 03/28/13	(253,216)	253,216

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SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.170% 10/11/2013 DD 10/10/13	(1,634,469)	1,634,469
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.180% 04/02/2013 DD 04/01/13	(721,317)	721,317
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.190% 01/03/2013 DD 01/02/13	(223,177)	223,177
GREENWICH CAPITAL REPO	GREENWICH CAPITAL REPO 0.190% 10/17/2013 DD 10/16/13	(3,195,290)	3,195,290
HANNOVER FDG CO DISC	HANNOVER FDG CO DISC 10-Jul-13	(779,460)	779,460
HEADWATERS INC 144A	HEADWATERS INC 144A 7.250% 01/15/2019 DD 12/10/13	(54,000)	54,540
HEALTHCARE REALTY TRUST INC	HEALTHCARE REALTY TRUST INC 3.750% 04/15/2023 DD 03/26/13	(218,194)	215,325
HECLA MINING CO 144A	HECLA MINING CO 144A 6.875% 05/01/2021 DD 04/12/13	(115,000)	115,450
HEXION US FINANCE CORP 144A	HEXION US FINANCE CORP 144A 6.625% 04/15/2020 DD 10/15/12	(125,938)	126,250
HILTON WORLDWIDE FINANCE 144A	HILTON WORLDWIDE FINANCE 144A 5.625% 10/15/2021 DD 10/04/13	(380,000)	380,469
HOCKEY MERGER SUB 2 INC 144A	HOCKEY MERGER SUB 2 INC 144A 7.875% 10/01/2021 DD 10/02/13	(360,000)	368,388
HOST HOTELS & RESORTS LP	HOST HOTELS & RESORTS LP 3.750% 10/15/2023 DD 03/28/13	(494,733)	476,488
HOT TOPIC INC 144A	HOT TOPIC INC 144A 9.250% 06/15/2021 DD 06/12/13	(74,208)	78,750
HUDBAY MINERALS INC	HUDBAY MINERALS INC 9.500% 10/01/2020 DD 09/13/12	(137,188)	135,938
IMPERIAL TOBACCO FINANCE 144A	IMPERIAL TOBACCO FINANCE 144A 3.500% 02/11/2023 DD 02/11/13	(449,550)	438,147
INEOS GROUP HOLDINGS SA 144A	INEOS GROUP HOLDINGS SA 144A 6.125% 08/15/2018 DD 05/14/13	(200,000)	198,000
ING (US) FUNDING DISC	ING (US) FUNDING DISC 19-Jul-13	(758,556)	758,556
INTELSAT JACKSON HOLDINGS 144A	INTELSAT JACKSON HOLDINGS 144A 5.500% 08/01/2023 DD 06/05/13	(360,750)	346,413

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
INTELSAT LUXEMBOURG SA 144A	INTELSAT LUXEMBOURG SA 144A 7.750% 06/01/2021 DD 04/05/13	(420,000)	427,163
ION GEOPHYSICAL CORP	ION GEOPHYSICAL CORP 8.125% 05/15/2018 DD 05/13/13	(129,000)	129,941
ISLE OF CAPRI CASINOS INC 144A	ISLE OF CAPRI CASINOS INC 144A 5.875% 03/15/2021 DD 03/05/13	(130,000)	129,606
ISTAR FINANCIAL INC	ISTAR FINANCIAL INC 3.875% 07/01/2016 DD 05/10/13	(115,000)	114,138
ISTAR FINANCIAL INC	ISTAR FINANCIAL INC 4.875% 07/01/2018 DD 05/10/13	(115,000)	111,188
JERSEY CENTRAL POWER & LIGHT C	JERSEY CENTRAL POWER & LIGHT C 6.150% 06/01/2037 DD 12/01/07	(870,247)	813,731
JPM CAT 1 REPO	JPM CAT 1 REPO 0.005% 08/23/2013 DD 08/22/13	(20,856)	20,856
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.005% 07/15/2013 DD 07/12/13	(12,290)	12,290
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.010% 05/29/2013 DD 05/28/13	(27,409)	27,409
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.010% 06/12/2013 DD 06/11/13	(45,662)	45,662
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.010% 06/14/2013 DD 06/13/13	(39,687)	39,687
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.020% 06/13/2013 DD 06/12/13	(52,911)	52,911
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.020% 06/21/2013 DD 06/20/13	(19,720)	19,720
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.020% 08/19/2013 DD 08/16/13	(17,121)	17,121
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.030% 06/17/2013 DD 06/14/13	(22,790)	22,790
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.030% 08/02/2013 DD 08/01/13	(187,063)	187,063
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.030% 08/05/2013 DD 08/02/13	(242,039)	242,039
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.030% 08/06/2013 DD 08/05/13	(187,801)	187,801

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.040% 08/07/2013 DD 08/06/13	(137,469)	137,469
JPM CAT 1 REPO REPO	JPM CAT 1 REPO REPO 0.050% 01/23/2013 DD 01/22/13	(7,764)	7,764
JPMORGAN CHASE & CO	JPMORGAN CHASE & CO VAR RT 12/29/2049 DD 04/23/13	(545,000)	554,265
KINDER MORGAN ENERGY PARTNERS	KINDER MORGAN ENERGY PARTNERS 5.000% 03/01/2043 DD 02/28/13	(854,080)	822,486
LANDESBANK HSN-TH DISC	LANDESBANK HSN-TH DISC 07-Feb-14	(1,397,577)	1,399,281
LANDESBANK HSN-TH DISC	LANDESBANK HSN-TH DISC 13-Aug-13	(808,259)	808,259
LAZARD GROUP LLC	LAZARD GROUP LLC 4.250% 11/14/2020 DD 11/14/13	(149,507)	149,625
LEAR CORP 144A	LEAR CORP 144A 4.750% 01/15/2023 DD 01/17/13	(236,250)	220,206
LKQ CORP 144A	LKQ CORP 144A 4.750% 05/15/2023 DD 05/09/13	(307,300)	283,575
LLOYDS BK PLC DISC	LLOYDS BK PLC DISC 27-Jan-14	(891,912)	891,912
LLOYDS BK PLC DISC	LLOYDS BK PLC DISC 05-Aug-13	(648,714)	648,714
LYB INTL FINANCE BV	LYB INTL FINANCE BV 4.000% 07/15/2023 DD 07/16/13	(389,778)	394,415
MAGNACHIP SEMICONDUCTOR C 144A	MAGNACHIP SEMICONDUCTOR C 144A 6.625% 07/15/2021 DD 07/18/13	(72,635)	73,365
MANHATTAN AST FDG DISC	MANHATTAN AST FDG DISC 18-Oct-13	(759,899)	759,899
MARIPOSA BORROWER INC / M 144A	MARIPOSA BORROWER INC / M 144A 8.000% 10/15/2021 DD 10/21/13	(251,575)	255,238
MARIPOSA BORROWER INC / M 144A	MARIPOSA BORROWER INC / M 144A 8.750% 10/15/2021 DD 10/21/13	(226,650)	229,500
MARKET STREET FDG DISC	MARKET STREET FDG DISC 07-May-13	(674,685)	674,685
MARKET STREET FDG DISC	MARKET STREET FDG DISC 07-Aug-13	(1,224,405)	1,224,405

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
MARKET STREET FDG DISC	MARKET STREET FDG DISC 01-Nov-13	(999,514)	999,514
MARTIN MIDSTREAM PARTNERS LP /	MARTIN MIDSTREAM PARTNERS LP / 7.250% 02/15/2021 DD 02/11/13	(160,800)	161,269
MASSMUTUAL GLOBAL FUNDING 144A	MASSMUTUAL GLOBAL FUNDING 144A 2.100% 08/02/2018 DD 08/02/13	(367,323)	368,416
MDC PARTNERS INC 144A	MDC PARTNERS INC 144A 6.750% 04/01/2020 DD 03/20/13	(160,000)	167,600
MEDIACOM BROADBAND LLC / MEDIA	MEDIACOM BROADBAND LLC / MEDIA 6.375% 04/01/2023 DD 04/01/13	(295,063)	294,975
MEM PROD PART LP/FIN COR 144A	MEM PROD PART LP/FIN COR 144A 7.625% 05/01/2021 DD 04/17/13	(100,491)	102,255
MEMORIAL RESOURCE DEVELO 144A	MEMORIAL RESOURCE DEVELO 144A 10.000% 12/15/2018 DD 12/18/13	(147,000)	147,750
MGM RESORTS INTERNATIONAL	MGM RESORTS INTERNATIONAL 6.750% 10/01/2020 DD 04/01/13	(135,000)	143,100
MICHAEL BAKER INTL INC 144A	MICHAEL BAKER INTL INC 144A 8.250% 10/15/2018 DD 10/11/13	(85,000)	85,745
MICHAELS FINCO HLDG/INC 144A	MICHAELS FINCO HLDG/INC 144A 7.500% 08/01/2018 DD 07/29/13	(235,000)	235,244
MIDCONTINENT COMMUNICATIO 144A	MIDCONTINENT COMMUNICATIO 144A 6.250% 08/01/2021 DD 07/30/13	(81,400)	80,700
MILACRON LLC / MCRON FINA 144A	MILACRON LLC / MCRON FINA 144A 7.750% 02/15/2021 DD 03/28/13	(219,850)	224,228
MONCLER SPA	MONCLER SPA	(60,879)	86,649
MPH INTERMEDIATE HLDNG 2 144A	MPH INTERMEDIATE HLDNG 2 144A 8.375% 08/01/2018 DD 07/26/13	(83,000)	84,868
MURPHY OIL USA INC 144A	MURPHY OIL USA INC 144A 6.000% 08/15/2023 DD 08/14/13	(130,000)	130,325
MURRAY ENERGY CORP 144A	MURRAY ENERGY CORP 144A 8.625% 06/15/2021 DD 05/24/13	(42,000)	42,893
MUSTANG MERGER CORP	MUSTANG MERGER CORP 8.500% 08/15/2021 DD 08/15/13	(67,000)	67,670
NAI ENTERTAINMENT HLDING 144A	NAI ENTERTAINMENT HLDING 144A 5.000% 08/01/2018 DD 08/06/13	(16,000)	16,160

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
NATIONWIDE BLDG DISC	NATIONWIDE BLDG DISC 06-Jan-14	(1,279,061)	1,279,881
NATIONWIDE BLDG DISC	NATIONWIDE BLDG DISC 19-Aug-13	(788,460)	788,460
NATIXIS US DISC	NATIXIS US DISC 17-Jan-14	(1,095,023)	1,098,490
NCL CORP LTD 144A	NCL CORP LTD 144A 5.000% 02/15/2018 DD 02/06/13	(39,780)	40,100
NCR CORP	NCR CORP 4.625% 02/15/2021 DD 02/15/13	(369,769)	354,281
NEDERLANSE WATER DISC	NEDERLANSE WATER DISC 20-Sep-13	(2,396,688)	2,396,688
NETFLIX INC 144A	NETFLIX INC 144A 5.375% 02/01/2021 DD 02/01/13	(310,000)	309,538
NEWS AMERICA INC	NEWS AMERICA INC 6.150% 02/15/2041 DD 08/15/11	(540,617)	520,799
NIEUW AMSTERDAM DISC	NIEUW AMSTERDAM DISC 07-Jan-14	(1,099,364)	1,099,786
NORFOLK SOUTHERN CORP	NORFOLK SOUTHERN CORP 2.903% 02/15/2023 DD 02/15/13	(242,409)	253,820
NOVA CHEMICALS CORP 144A	NOVA CHEMICALS CORP 144A 5.250% 08/01/2023 DD 07/30/13	(50,000)	50,750
NXP BV / NXP FUNDING LLC 144A	NXP BV / NXP FUNDING LLC 144A 5.750% 03/15/2023 DD 03/12/13	(200,000)	200,000
OFFSHORE GROUP INVESTMENT LTD	OFFSHORE GROUP INVESTMENT LTD 7.500% 11/01/2019 DD 05/01/13	(313,213)	341,306
OFFSHORE GROUP INVESTMENT 144A	OFFSHORE GROUP INVESTMENT 144A 7.125% 04/01/2023 DD 03/28/13	(215,000)	219,138
OFFSHORE GROUP INVST LTD	OFFSHORE GROUP INVST LTD 7.125% 04/01/2023 DD 03/28/13	(50,000)	48,750
OSRAM LICHT AG	OSRAM LICHT AG	(126,374)	163,938
OVERSEA CHINESE DISC	OVERSEA CHINESE DISC 26-Sep-13	(1,468,047)	1,468,047
OXFORD FINANCE LLC / OXFO 144A	OXFORD FINANCE LLC / OXFO 144A 7.250% 01/15/2018 DD 01/22/13	(130,000)	135,250

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
PACIFIC DRILLING SA 144A	PACIFIC DRILLING SA 144A 5.375% 06/01/2020 DD 06/03/13	(65,000)	64,431
PARKER DRILLING CO 144A	PARKER DRILLING CO 144A 7.500% 08/01/2020 DD 07/30/13	(55,000)	55,413
PC NEXTCO HOLDINGS LLC / 144A	PC NEXTCO HOLDINGS LLC / 144A 8.750% 08/15/2019 DD 08/01/13	(227,700)	228,113
PENN VIRGINIA CORP 144A	PENN VIRGINIA CORP 144A 8.500% 05/01/2020 DD 04/24/13	(94,000)	95,175
PERRIGO CO	PERRIGO CO 2.950% 05/15/2023 DD 05/16/13	(666,550)	663,108
PETROLOGISTICS LP / PETRO 144A	PETROLOGISTICS LP / PETRO 144A 6.250% 04/01/2020 DD 03/28/13	(132,275)	130,325
PITTSBURGH GLASS WORKS L 144A	PITTSBURGH GLASS WORKS L 144A 8.000% 11/15/2018 DD 11/12/13	(35,000)	35,438
PPL CAPITAL FUNDING INC	PPL CAPITAL FUNDING INC 4.700% 06/01/2043 DD 05/24/13	(548,064)	514,459
PPL ENERGY SUPPLY LLC	PPL ENERGY SUPPLY LLC 4.600% 12/15/2021 DD 12/16/11	(158,107)	218,109
PRESTIGE BRANDS INC 144A	PRESTIGE BRANDS INC 144A 5.375% 12/15/2021 DD 12/17/13	(75,000)	75,563
PRUDENTIAL FINANCIAL INC	PRUDENTIAL FINANCIAL INC VAR RT 03/15/2044 DD 03/22/13	(305,000)	274,744
PRUDENTIAL PLC DISC	PRUDENTIAL PLC DISC 06-Aug-13	(624,321)	624,321
PVH CORP	PVH CORP 4.500% 12/15/2022 DD 12/20/12	(121,200)	113,700
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 05/30/2013 DD 05/29/13	(65,546)	65,546
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 05/31/2013 DD 05/30/13	(60,891)	60,891
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 07/19/2013 DD 07/18/13	(13,605)	13,605
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 07/22/2013 DD 07/19/13	(62,319)	62,319
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 07/23/2013 DD 07/22/13	(94,389)	94,389

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 07/24/2013 DD 07/23/13	(39,784)	39,784
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 08/22/2013 DD 08/21/13	(84,139)	84,139
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 08/23/2013 DD 08/22/13	(200,678)	200,678
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.005% 08/29/2013 DD 08/28/13	(58,784)	58,784
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 06/14/2013 DD 06/13/13	(109,536)	109,536
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/11/2013 DD 07/10/13	(21,979)	21,979
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/12/2013 DD 07/11/13	(16,881)	16,881
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/15/2013 DD 07/12/13	(56,239)	56,239
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/17/2013 DD 07/16/13	(45,635)	45,635
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/18/2013 DD 07/17/13	(35,975)	35,975
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/25/2013 DD 07/24/13	(135,841)	135,841
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/26/2013 DD 07/25/13	(323,684)	323,684
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/29/2013 DD 07/26/13	(1,343,562)	1,343,562
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/30/2013 DD 07/29/13	(923,894)	923,894
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 07/31/2013 DD 07/30/13	(1,250,298)	1,250,298
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 08/20/2013 DD 08/19/13	(174,742)	174,742
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 08/21/2013 DD 08/20/13	(121,480)	121,480
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 08/26/2013 DD 08/23/13	(96,020)	96,020

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 08/27/2013 DD 08/26/13	(96,679)	96,679
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 08/28/2013 DD 08/27/13	(52,704)	52,704
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 09/23/2013 DD 09/20/13	(13,709)	13,709
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 09/24/2013 DD 09/23/13	(25,838)	25,838
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.010% 09/25/2013 DD 09/24/13	(23,785)	23,785
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 05/21/2013 DD 05/20/13	(29,837)	29,837
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 05/29/2013 DD 05/28/13	(164,642)	164,642
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 06/11/2013 DD 06/10/13	(71,485)	71,485
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 06/12/2013 DD 06/11/13	(145,168)	145,168
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 06/13/2013 DD 06/12/13	(163,638)	163,638
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 06/17/2013 DD 06/14/13	(73,795)	73,795
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 06/21/2013 DD 06/20/13	(68,044)	68,044
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 06/24/2013 DD 06/21/13	(18,658)	18,658
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/02/2013 DD 08/01/13	(1,447,874)	1,447,874
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/08/2013 DD 08/07/13	(864,667)	864,667
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/09/2013 DD 08/08/13	(969,405)	969,405
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/12/2013 DD 08/09/13	(591,878)	591,878
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/13/2013 DD 08/12/13	(693,950)	693,950

ROCKWELL COLLINS PENSION PLAN
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FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/14/2013 DD 08/13/13	(529,384)	529,384
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/15/2013 DD 08/14/13	(234,417)	234,417
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 08/19/2013 DD 08/16/13	(263,794)	263,794
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 09/12/2013 DD 09/11/13	(19,390)	19,390
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 09/26/2013 DD 09/25/13	(31,179)	31,179
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.020% 09/27/2013 DD 09/26/13	(21,290)	21,290
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 06/07/2013 DD 06/06/13	(11,601)	11,601
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 06/10/2013 DD 06/07/13	(27,060)	27,060
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 06/20/2013 DD 06/19/13	(13,302)	13,302
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 09/13/2013 DD 09/12/13	(11,674)	11,674
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 09/16/2013 DD 09/13/13	(16,618)	16,618
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 09/17/2013 DD 09/16/13	(13,211)	13,211
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 09/19/2013 DD 09/18/13	(11,612)	11,612
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 10/07/2013 DD 10/04/13	(10,495)	10,495
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.030% 10/09/2013 DD 10/08/13	(19,279)	19,279
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 04/24/2013 DD 04/23/13	(47,231)	47,231
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 04/25/2013 DD 04/24/13	(98,735)	98,735
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 05/09/2013 DD 05/08/13	(498,579)	498,579

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 05/10/2013 DD 05/09/13	(28,064)	28,064
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 05/15/2013 DD 05/14/13	(255,509)	255,509
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 07/16/2013 DD 07/15/13	(60,970)	60,970
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 08/05/2013 DD 08/02/13	(1,358,795)	1,358,795
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 08/06/2013 DD 08/05/13	(987,239)	987,239
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 08/07/2013 DD 08/06/13	(808,201)	808,201
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.040% 10/08/2013 DD 10/07/13	(49,389)	49,389
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.050% 04/30/2013 DD 04/29/13	(41,507)	41,507
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.050% 05/08/2013 DD 05/07/13	(557,533)	557,533
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.050% 05/14/2013 DD 05/13/13	(129,585)	129,585
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.060% 04/29/2013 DD 04/26/13	(37,541)	37,541
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.060% 05/13/2013 DD 05/10/13	(82,020)	82,020
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.060% 06/18/2013 DD 06/17/13	(16,506)	16,506
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.060% 06/19/2013 DD 06/18/13	(10,372)	10,372
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.060% 08/01/2013 DD 07/31/13	(1,137,192)	1,137,192
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.070% 05/16/2013 DD 05/15/13	(124,285)	124,285
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.070% 06/04/2013 DD 06/03/13	(65,344)	65,344
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.080% 04/04/2013 DD 04/03/13	(658,405)	658,405

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.080% 04/26/2013 DD 04/25/13	(108,066)	108,066
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.080% 10/10/2013 DD 10/09/13	(15,953)	15,953
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.090% 05/07/2013 DD 05/06/13	(973,230)	973,230
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.100% 04/05/2013 DD 04/04/13	(3,936)	3,936
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.100% 04/23/2013 DD 04/22/13	(73,819)	73,819
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.110% 04/09/2013 DD 04/08/13	(95,218)	95,218
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.110% 04/19/2013 DD 04/18/13	(160,801)	160,801
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.110% 04/22/2013 DD 04/19/13	(91,333)	91,333
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.110% 10/15/2013 DD 10/11/13	(2,305,077)	2,305,077
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.120% 05/06/2013 DD 05/03/13	(993,166)	993,166
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.130% 04/10/2013 DD 04/09/13	(220,038)	220,038
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.130% 04/11/2013 DD 04/10/13	(18,774)	18,774
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.130% 04/17/2013 DD 04/16/13	(123,224)	123,224
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.130% 04/18/2013 DD 04/17/13	(118,034)	118,034
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.130% 05/02/2013 DD 05/01/13	(196,957)	196,957
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.140% 04/03/2013 DD 04/02/13	(592,589)	592,589
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.140% 04/08/2013 DD 04/05/13	(104,223)	104,223
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.140% 04/15/2013 DD 04/12/13	(177,811)	177,811

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FORM 5500, SCHEDULE H, PART IV, LINE 4i
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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.140% 04/16/2013 DD 04/15/13	(189,505)	189,505
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.140% 05/01/2013 DD 04/30/13	(26,578)	26,578
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.140% 05/03/2013 DD 05/02/13	(233,447)	233,447
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.150% 10/16/2013 DD 10/15/13	(1,472,455)	1,472,455
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.160% 04/12/2013 DD 04/11/13	(25,164)	25,164
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.170% 04/01/2013 DD 03/28/13	(201,941)	201,941
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.170% 10/11/2013 DD 10/10/13	(956,321)	956,321
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.180% 04/02/2013 DD 04/01/13	(498,889)	498,889
RBS PLC CAT 1 REPO	RBS PLC CAT 1 REPO 0.190% 10/17/2013 DD 10/16/13	(2,067,120)	2,067,120
REGENCY MRKTS #1 DISC	REGENCY MRKTS #1 DISC 21-Oct-13	(1,399,813)	1,399,813
REGENCY MRKTS #1 DISC	REGENCY MRKTS #1 DISC 05-Dec-13	(1,799,895)	1,799,952
REGENCY MRKTS #1 DISC	REGENCY MRKTS #1 DISC 20-Dec-13	(1,299,921)	1,299,962
RENAISSANCE ACQUISITION 144A	RENAISSANCE ACQUISITION 144A 6.875% 08/15/2021 DD 07/30/13	(164,000)	164,889
RENT-A-CENTER INC/TX 144A	RENT-A-CENTER INC/TX 144A 4.750% 05/01/2021 DD 05/02/13	(85,000)	79,338
RENTECH NITROGEN PARTNERS 144A	RENTECH NITROGEN PARTNERS 144A 6.500% 04/15/2021 DD 04/12/13	(155,500)	150,300
REXEL SA 144A	REXEL SA 144A 5.250% 06/15/2020 DD 04/03/13	(259,951)	261,138
RIALTO HLDS LLC/CORP	RIALTO HLDS LLC/CORP 7.000% 12/01/2018 DD 11/14/13	(71,000)	71,010
ROLLS ROYCE HLDGS C SHS	ROLLS ROYCE HLDGS C SHS ENTITLEMENT(JUL 2013)	(33,115)	33,096

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
ROLLS ROYCE HOLDINGS	ROLLS ROYCE HOLDINGS C SHS ENTITLEMENT (JAN 2014)	(17,559)	-
ROSETTA RESOURCES INC	ROSETTA RESOURCES INC 5.625% 05/01/2021 DD 05/02/13	(240,000)	251,400
ROUNDY'S SUPERMARKETS INC 144A	ROUNDY'S SUPERMARKETS INC 144A 10.250% 12/15/2020 DD 12/20/13	(50,439)	51,480
RR DONNELLEY & SONS CO	RR DONNELLEY & SONS CO 7.875% 03/15/2021 DD 03/14/13	(37,810)	38,190
RSI HOME PRODUCTS INC	RSI HOME PRODUCTS INC 6.875% 03/01/2018 DD 02/22/13	(125,000)	125,994
SCHAEFFLER FINANCE BV 144A	SCHAEFFLER FINANCE BV 144A 4.750% 05/15/2021 DD 04/29/13	(210,000)	197,138
SCIENTIFIC GAMES INTERNATIONAL	SCIENTIFIC GAMES INTERNATIONAL 6.250% 09/01/2020 DD 08/20/12	(285,000)	292,125
SEALED AIR CORP 144A	SEALED AIR CORP 144A 5.250% 04/01/2023 DD 03/21/13	(187,663)	175,838
SEMINOLE HARD ROCK ENI I 144A	SEMINOLE HARD ROCK ENI I 144A 5.875% 05/15/2021 DD 05/14/13	(65,000)	65,813
SENSATA TECHNOLOGIES BV 144A	SENSATA TECHNOLOGIES BV 144A 4.875% 10/15/2023 DD 04/17/13	(58,000)	58,435
SEVEN GENERARTIONS ENERGY	SEVEN GENERARTIONS ENERGY 8.250% 05/15/2020 DD 05/10/13	(205,000)	213,463
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.005% 08/22/2013 DD 08/21/13	(25,091)	25,091
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.005% 08/23/2013 DD 08/22/13	(68,768)	68,768
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 07/31/2013 DD 07/30/13	(25,137)	25,137
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 08/21/2013 DD 08/20/13	(34,075)	34,075
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 08/26/2013 DD 08/23/13	(38,511)	38,511
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 08/27/2013 DD 08/26/13	(27,837)	27,837
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 08/28/2013 DD 08/27/13	(15,228)	15,228

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 08/29/2013 DD 08/28/13	(17,778)	17,778
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 09/23/2013 DD 09/20/13	(74,202)	74,202
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 09/25/2013 DD 09/24/13	(136,265)	136,265
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 09/30/2013 DD 09/27/13	(38,539)	38,539
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 10/24/2013 DD 10/23/13	(2,736,094)	2,736,094
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.010% 12/31/2013 DD 12/30/13	(5,465,754)	5,465,754
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 08/15/2013 DD 08/14/13	(56,620)	56,620
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 08/20/2013 DD 08/19/13	(38,711)	38,711
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 08/30/2013 DD 08/29/13	(519,386)	519,386
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 09/11/2013 DD 09/10/13	(214,765)	214,765
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 09/12/2013 DD 09/11/13	(225,713)	225,713
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 09/19/2013 DD 09/18/13	(87,986)	87,986
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 09/24/2013 DD 09/23/13	(133,516)	133,516
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 09/27/2013 DD 09/26/13	(108,773)	108,773
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 10/03/2013 DD 10/02/13	(10,927)	10,927
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 10/23/2013 DD 10/22/13	(2,226,624)	2,226,624
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 12/26/2013 DD 12/24/13	(3,927,337)	3,927,337
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 12/27/2013 DD 12/26/13	(3,435,518)	3,435,518

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.020% 12/30/2013 DD 12/27/13	(3,094,214)	3,094,214
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/02/2013 DD 08/01/13	(593,018)	593,018
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/08/2013 DD 08/07/13	(185,589)	185,589
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/09/2013 DD 08/08/13	(227,750)	227,750
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/12/2013 DD 08/09/13	(157,961)	157,961
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/13/2013 DD 08/12/13	(200,340)	200,340
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/14/2013 DD 08/13/13	(159,816)	159,816
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 08/19/2013 DD 08/16/13	(70,773)	70,773
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 09/10/2013 DD 09/09/13	(270,949)	270,949
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 09/26/2013 DD 09/25/13	(199,410)	199,410
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 10/02/2013 DD 10/01/13	(235,137)	235,137
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 10/04/2013 DD 10/03/13	(21,715)	21,715
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 10/22/2013 DD 10/21/13	(1,622,909)	1,622,909
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 10/25/2013 DD 10/24/13	(2,373,166)	2,373,166
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 11/06/2013 DD 11/05/13	(1,338,116)	1,338,116
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 11/07/2013 DD 11/06/13	(1,439,485)	1,439,485
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 12/12/2013 DD 12/11/13	(175,296)	175,296
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 12/13/2013 DD 12/12/13	(20,857)	20,857

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Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 12/16/2013 DD 12/13/13	(34,106)	34,106
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.030% 12/24/2013 DD 12/23/13	(1,664,898)	1,664,898
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 08/06/2013 DD 08/05/13	(396,586)	396,586
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/05/2013 DD 09/04/13	(262,260)	262,260
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/06/2013 DD 09/05/13	(162,887)	162,887
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/09/2013 DD 09/06/13	(243,454)	243,454
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/13/2013 DD 09/12/13	(98,563)	98,563
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/16/2013 DD 09/13/13	(167,517)	167,517
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/17/2013 DD 09/16/13	(180,705)	180,705
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 09/18/2013 DD 09/17/13	(10,846)	10,846
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 10/08/2013 DD 10/07/13	(160,280)	160,280
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 10/09/2013 DD 10/08/13	(59,761)	59,761
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 10/28/2013 DD 10/25/13	(2,055,366)	2,055,366
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 11/05/2013 DD 11/04/13	(2,066,509)	2,066,509
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 12/10/2013 DD 12/09/13	(114,037)	114,037
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 12/18/2013 DD 12/17/13	(16,589)	16,589
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 12/19/2013 DD 12/18/13	(171,002)	171,002
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 12/20/2013 DD 12/19/13	(2,311,278)	2,311,278

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YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.040% 12/23/2013 DD 12/20/13	(9,151,047)	9,151,047
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 08/05/2013 DD 08/02/13	(567,709)	567,709
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 08/07/2013 DD 08/06/13	(303,333)	303,333
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 09/03/2013 DD 08/30/13	(49,950)	49,950
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 10/07/2013 DD 10/04/13	(168,369)	168,369
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 10/29/2013 DD 10/28/13	(2,312,989)	2,312,989
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 10/30/2013 DD 10/29/13	(7,175,715)	7,175,715
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 10/31/2013 DD 10/30/13	(7,023,733)	7,023,733
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/04/2013 DD 11/01/13	(5,728,176)	5,728,176
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/08/2013 DD 11/07/13	(180,308)	180,308
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/14/2013 DD 11/13/13	(184,990)	184,990
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/20/2013 DD 11/19/13	(558,362)	558,362
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/21/2013 DD 11/20/13	(305,207)	305,207
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/22/2013 DD 11/21/13	(836,594)	836,594
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 11/25/2013 DD 11/22/13	(827,311)	827,311
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 12/05/2013 DD 12/04/13	(258,242)	258,242
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 12/06/2013 DD 12/05/13	(94,988)	94,988
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 12/09/2013 DD 12/06/13	(175,512)	175,512

ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.050% 12/11/2013 DD 12/10/13	(130,356)	130,356
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 08/01/2013 DD 07/31/13	(160,742)	160,742
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 09/04/2013 DD 09/03/13	(360,844)	360,844
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 11/19/2013 DD 11/18/13	(700,193)	700,193
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 11/26/2013 DD 11/25/13	(859,150)	859,150
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 11/27/2013 DD 11/26/13	(618,502)	618,502
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 12/04/2013 DD 12/03/13	(166,137)	166,137
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.060% 12/17/2013 DD 12/16/13	(62,781)	62,781
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.070% 11/29/2013 DD 11/27/13	(742,232)	742,232
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.080% 10/10/2013 DD 10/09/13	(48,891)	48,891
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.080% 11/01/2013 DD 10/31/13	(6,336,211)	6,336,211
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.080% 11/18/2013 DD 11/15/13	(552,128)	552,128
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.080% 12/02/2013 DD 11/29/13	(12,716)	12,716
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.080% 12/03/2013 DD 12/02/13	(559,940)	559,940
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.110% 10/21/2013 DD 10/18/13	(1,960,901)	1,960,901
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.130% 10/15/2013 DD 10/11/13	(3,783,879)	3,783,879
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.130% 10/18/2013 DD 10/17/13	(2,541,902)	2,541,902
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.150% 10/16/2013 DD 10/15/13	(4,358,360)	4,358,360

ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.170% 10/17/2013 DD 10/16/13	(3,574,630)	3,574,630
SG AMERICAS CAT 1 REPO	SG AMERICAS CAT 1 REPO 0.190% 10/11/2013 DD 10/10/13	(3,034,596)	3,034,596
SHEFFIELD REC CP DISC	SHEFFIELD REC CP DISC 25-Jun-13	(1,199,025)	1,199,025
SHEFFIELD REC CP DISC	SHEFFIELD REC CP DISC 02-Jul-13	(1,699,567)	1,699,567
SHINGLE SPRINGS TRIBAL GA 144A	SHINGLE SPRINGS TRIBAL GA 144A 9.750% 09/01/2021 DD 08/29/13	(115,000)	123,625
SIWF MERGER SUB INC / SPR 144A	SIWF MERGER SUB INC / SPR 144A 6.250% 06/01/2021 DD 06/04/13	(85,000)	83,938
SKANDINAVISKA ENS DISC	SKANDINAVISKA ENS DISC 02-Jul-13	(659,229)	659,229
SOCIETE GEN N A DISC	SOCIETE GEN N A DISC 16-Sep-13	(997,781)	997,781
SONIC AUTOMOTIVE INC	SONIC AUTOMOTIVE INC 5.000% 05/15/2023 DD 05/09/13	(127,463)	118,598
SOPHIA HOLDING FIN LP/IN	SOPHIA HOLDING FIN LP/IN 9.625% 12/01/2018 DD 11/19/13	(108,900)	110,000
SPRINGLEAF FINANCE CORP 144A	SPRINGLEAF FINANCE CORP 144A 7.750% 10/01/2021 DD 09/24/13	(71,000)	75,970
SPRINGLEAF FINANCE CORP 144A	SPRINGLEAF FINANCE CORP 144A 8.250% 10/01/2023 DD 09/24/13	(71,000)	75,793
STANDARD CHARTERED PLC 144A	STANDARD CHARTERED PLC 144A 3.950% 01/11/2023 DD 01/11/13	(369,575)	336,822
STAPLES INC	STAPLES INC 4.375% 01/12/2023 DD 01/14/13	(766,909)	725,028
STATION CASINOS LLC 144A	STATION CASINOS LLC 144A 7.500% 03/01/2021 DD 03/01/13	(205,000)	205,369
STEEL DYNAMICS INC	STEEL DYNAMICS INC 5.250% 04/15/2023 DD 10/15/13	(54,813)	55,720
STEEL DYNAMICS INC 144A	STEEL DYNAMICS INC 144A 5.250% 04/15/2023 DD 03/26/13	(39,000)	39,390
SUGAR HSP GMNG PROP/FIN 144A	SUGAR HSP GMNG PROP/FIN 144A 6.375% 06/01/2021 DD 05/24/13	(82,000)	83,230

ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONTINUED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
TELEVISION BROADCASTS	TELEVISION BROADCASTS HKD0.05 (POST B/L CHANGE)	(556,708)	504,065
TIME WARNER CABLE INC	TIME WARNER CABLE INC 6.750% 06/15/2039 DD 06/29/09	(534,200)	429,147
TITAN INTERNATIONAL INC	TITAN INTERNATIONAL INC 7.875% 10/01/2017 DD 10/01/12	(40,375)	40,708
TITAN INTERNATIONAL INC 144A	TITAN INTERNATIONAL INC 144A 6.875% 10/01/2020 DD 10/07/13	(30,000)	30,225
TOYO TANSO CO LTD NPV	TOYO TANSO CO LTD NPV	(423,281)	266,311
TRANSDIGM INC	TRANSDIGM INC 7.500% 07/15/2021 DD 07/01/13	(220,000)	237,050
TRINSEO OP / TRINSEO FIN 144A	TRINSEO OP / TRINSEO FIN 144A 8.750% 02/01/2019 DD 01/29/13	(200,000)	200,288
TRW AUTOMOTIVE INC 144A	TRW AUTOMOTIVE INC 144A 4.500% 03/01/2021 DD 02/28/13	(35,000)	35,394
UBS FIN DEL INC DISC	UBS FIN DEL INC DISC 09-Oct-13	(1,248,030)	1,248,030
UNITED CONTINENTAL HOLDINGS IN	UNITED CONTINENTAL HOLDINGS IN 6.375% 06/01/2018 DD 05/07/13	(45,000)	46,406
UNITED RENTALS NORTH AMERICA I	UNITED RENTALS NORTH AMERICA I 7.375% 05/15/2020 DD 11/15/12	(140,000)	155,750
UNITED RENTALS NORTH AMERICA I	UNITED RENTALS NORTH AMERICA I 7.625% 04/15/2022 DD 10/15/12	(145,000)	162,044
UOB FUNDING LLC DISC	UOB FUNDING LLC DISC 16-Aug-13	(899,138)	899,137
US COATINGS ACQUISITION I 144A	US COATINGS ACQUISITION I 144A 7.375% 05/01/2021 DD 02/01/13	(375,000)	384,375
US TREAS BD FUTURE (CBT)	US TREAS BD FUTURE (CBT) EXP DEC 13	-	(86,822)
US TREAS BD FUTURE (CBT)	US TREAS BD FUTURE (CBT) EXP JUN 13	-	(21,094)
US TREAS BD FUTURE (CBT)	US TREAS BD FUTURE (CBT) EXP SEP 13	-	233,250
US ULTRA BOND (CBT)	US ULTRA BOND (CBT) EXP DEC 13	-	(58,188)

ROCKWELL COLLINS PENSION PLAN
EIN #: 52-2314475, PLAN #: 001

FORM 5500, SCHEDULE H, PART IV, LINE 4i
SCHEDULE OF ASSETS (ACQUIRED AND DISPOSED OF WITHIN THE YEAR)
YEAR ENDED DECEMBER 31, 2013 (CONCLUDED)

Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Costs of Acquisitions	Proceeds of Dispositions
US ULTRA BOND (CBT)	US ULTRA BOND (CBT) EXP SEP 13	-	(220,504)
US ULTRA BOND FUT (CBT)	US ULTRA BOND FUT (CBT) EXP JUN 13	-	35,712
US 10 YR TREAS NTS FUT (CBT)	US 10 YR TREAS NTS FUT (CBT) EXP JUN 13	-	170,984
US 10 YR TREAS NTS FUT (CBT)	US 10 YR TREAS NTS FUT (CBT) EXP SEP 13	-	98,447
US 10YR TREAS NTS FUTURE (CBT)	US 10YR TREAS NTS FUTURE (CBT) EXP DEC 13	-	(236,429)
US 5YR TREAS NTS FUTURE (CBT)	US 5YR TREAS NTS FUTURE (CBT) EXP DEC 13	-	74,055
US 5YR TREAS NTS FUTURE (CBT)	US 5YR TREAS NTS FUTURE (CBT) EXP JUN 13	-	(1,500)
US 5YR TREAS NTS FUTURE (CBT)	US 5YR TREAS NTS FUTURE (CBT) EXP SEP 13	-	(77,251)
VERISIGN INC 144A	VERISIGN INC 144A 4.625% 05/01/2023 DD 04/16/13	(180,000)	181,263
VERIZON COMMUNICATIONS INC	VERIZON COMMUNICATIONS INC 4.500% 09/15/2020 DD 09/18/13	(254,669)	270,675
VICTORY RECVBLS DISC	VICTORY RECVBLS DISC 14-Nov-13	(1,799,465)	1,799,465
WALTER ENERGY INC 144A	WALTER ENERGY INC 144A 8.500% 04/15/2021 DD 03/27/13	(90,000)	79,650
WALTER ENERGY INC 144A	WALTER ENERGY INC 144A 9.500% 10/15/2019 DD 09/27/13	(56,672)	58,568
WEEKLEY HOMES LLC / WEEKL 144A	WEEKLEY HOMES LLC / WEEKL 144A 6.000% 02/01/2023 DD 02/04/13	(90,000)	86,400
WESCO DISTRIBUTION INC 144A	WESCO DISTRIBUTION INC 144A 5.375% 12/15/2021 DD 11/26/13	(78,000)	78,331
WHIRLPOOL CORP	WHIRLPOOL CORP 5.150% 03/01/2043 DD 02/27/13	(229,163)	231,549
WOLVERINE WORLD WIDE INC	WOLVERINE WORLD WIDE INC 6.125% 10/15/2020 DD 04/15/13	(182,450)	192,150

See accompanying Independent Auditors' Report.

Plan Name	Rockwell Collins Pension Plan
Plan Sponsor EIN	52-2314475
ERISA Plan #	001
Plan Year Ending	December 31, 2013

The required attachment marked with an "X" in the Attachment column is included within the Accountant's Opinion attachment to Sch. H, Part III, Line 3, which consists of the entire audit report issued by the Plan's Independent Qualified Public Accountant (IQPA).

Form/Schedule	Line #	Description	Attachment
5500 Sch. H	3	Financial statements used in formulating the IQPA's opinion	X
5500 Sch. H	4i	Schedule of Assets (Held at End of Year)	X
5500 Sch. H	4i	Schedule of Assets (Acquired and disposed of Within Year)	X

Plan Name	Rockwell Collins Pension Plan
Plan Sponsor EIN	52-2314475
ERISA Plan #	001
Plan Year Ending	December 31, 2013

The required attachment marked with an "X" in the Attachment column is included within the Accountant's Opinion attachment to Sch. H, Part III, Line 3, which consists of the entire audit report issued by the Plan's Independent Qualified Public Accountant (IQPA).

Form/Schedule	Line #	Description	Attachment
5500 Sch. H	3	Financial statements used in formulating the IQPA's opinion	X
5500 Sch. H	4i	Schedule of Assets (Held at End of Year)	X
5500 Sch. H	4i	Schedule of Assets (Acquired and disposed of Within Year)	X

EIN: 52-2314475
PN: 001

Attachment to 2013 Schedule SB
Statement by Enrolled Actuary

ROCKWELL COLLINS, INC.
ROCKWELL COLLINS PENSION PLAN

Plan Sponsor	Rockwell Collins
EIN/PN	52-2314475/001
Plan Name	Rockwell Collins Pension Plan
Valuation Date	January 1, 2013
Enrolled Actuary	James P. Neal
Enrollment Number	14-06418

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 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.

SCHEDULE SB (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Single-Employer Defined Benefit Plan Actuarial Information 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). ► File as an attachment to Form 5500 or 5500-SF.	OMB No. 1210-0110 2013 This Form Is Open to Public Inspection
--	--	---

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

► 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.

A Name of plan Rockwell Collins Pension Plan	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">B Three-digit plan number (PN) ►</td> <td style="width: 30%; text-align: center;">001</td> </tr> <tr> <td colspan="2" style="height: 20px;"></td> </tr> </table>	B Three-digit plan number (PN) ►	001		
B Three-digit plan number (PN) ►	001				
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF Rockwell Collins, Inc.	D Employer Identification Number (EIN) 52-2314475				

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

Part I Basic Information			
1 Enter the valuation date: Month <u>1</u> Day <u>1</u> Year <u>2013</u>			
2 Assets:			
a Market value	2a	2,535,769,828	
b Actuarial value	2b	2,535,769,828	
3 Funding target/participant count breakdown:			
	(1) Number of participants	(2) Funding Target	
a For retired participants and beneficiaries receiving payment	3a	12,248	1,629,537,263
b For terminated vested participants	3b	11,206	360,018,934
c For active participants:			
(1) Non-vested benefits	3c(1)		26,998,879
(2) Vested benefits	3c(2)		689,908,364
(3) Total active	3c(3)	10,821	716,907,243
d Total	3d	34,275	2,706,463,440
4 If the plan is in at-risk status, check the box and complete lines (a) and (b): ☐			
a Funding target disregarding prescribed at-risk assumptions	4a		
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	4b		
5 Effective interest rate	5	6.65 %	
6 Target normal cost	6	14,806,816	

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.

SIGN HERE	 Signature of actuary	<u>10/31/2014</u> Date
James P Neal Type or print name of actuary		<u>14-06418</u> Most recent enrollment number
Towers Watson Delaware Inc. Firm name		<u>(703) 258-8000</u> Telephone number (including area code)
901 N Glebe Road Arlington Address of the firm	VA 22203-8215	

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	87,315,893
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	87,315,893
10	Interest on line 9 using prior year's actual return of <u>14.30</u> %		12,486,173
11	Prior year's excess contributions to be added to prefunding balance:		
	a Present value of excess contributions (line 38a from prior year)		49,019,194
	b Interest on (a) using prior year's effective interest rate of <u>7.00</u> % except as otherwise provided (see instructions)		3,431,344
	c Total available at beginning of current plan year to add to prefunding balance		52,450,538
	d Portion of (c) to be added to prefunding balance		52,450,538
12	Other reductions in balances due to elections or deemed elections	0	0
13	Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	0	152,252,604

Part III Funding Percentages			
14	Funding target attainment percentage	14	88.06 %
15	Adjusted funding target attainment percentage	15	88.06 %
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	82.96 %
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 (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
01/16/2013	10,426,099				
10/10/2013	55,000,000				
			Totals ►	18(b)	65,426,099
				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 0
b Contributions made to avoid restrictions adjusted to valuation date	19b 10,398,167
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c 52,323,047
20 Quarterly contributions and liquidity shortfalls:	
a Did the plan have a "funding shortfall" for the prior year? ☒ Yes ☐ No	
b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? ☒ Yes ☐ 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
0	0
(3) 3rd	(4) 4th
0	0

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

21 Discount rate:				
a Segment rates:	1st segment: 5.23 %	2nd segment: 6.51 %	3rd segment: 7.16 %	☐ N/A, full yield curve used
b Applicable month (enter code).....				21b 0
22 Weighted average retirement age				22 63
23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute				

Part VI Miscellaneous Items

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

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

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

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):			
a Target normal cost (line 6).....	31a	14,806,816	
b Excess assets, if applicable, but not greater than line 31a	31b	0	
32 Amortization installments:	Outstanding Balance	Installment	
a Net shortfall amortization installment.....	322,946,216	78,681,031	
b Waiver amortization installment.....	0	0	
33 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	33	0	
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33) ..	34	93,487,847	
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement.....	0	57,582,147	57,582,147
36 Additional cash requirement (line 34 minus line 35).....	36	35,905,700	
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c).....	37	52,323,047	
38 Present value of excess contributions for current year (see instructions)			
a Total (excess, if any, of line 37 over line 36)	38a	16,417,347	
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances	38b	16,417,347	
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)	39	0	
40 Unpaid minimum required contributions for all years	40	0	

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

41 If an election was made to use PRA 2010 funding relief for this plan:			
a Schedule elected	☐ 2 plus 7 years ☒ 15 years		
b Eligible plan year(s) for which the election in line 41a was made	☐ 2008 ☒ 2009 ☒ 2010 ☐ 2011		
42 Amount of acceleration adjustment	42	11,701,416	
43 Excess installment acceleration amount to be carried over to future plan years.....	43	0	

EIN: 52-2314475
PN: 001

Attachment to 2013 Schedule SB, Line 19
Discounted Employer Contributions as of January 1, 2013

ROCKWELL COLLINS, INC.
ROCKWELL COLLINS PENSION PLAN

Date	Applicable Plan Year	Contribution	Applicable Effective Rate	Interest Adjusted Contribution
01/16/2013	2013	\$10,426,099	6.65%	\$10,398,167
10/10/2013	2013	\$55,000,000	6.65%	\$52,323,047

Attachment to 2013 Schedule SB, Line 22
Description of Weighted Average Retirement Age

ROCKWELL COLLINS, INC.
ROCKWELL COLLINS PENSION PLAN

<u>Sub-Plan Name</u>	<u>Active Participant Counts at 1/1/2013</u>	<u>Weighted Average Retirement Age</u>
Certain Salaried	79	62.830
Electronics Salaried	6,630	62.770
Collins Production	1,294	62.200
Coralville	536	63.280
Kaiser Ret Plan	288	63.730
Offsite Electronics	521	62.390
TOTAL	9,348	62.729

Weighted Average Retirement Age is determined using the actual active population (excluding participants in leave, layoff or transfer status as of January 1, 2013) and the Plan's retirement decrement assumptions.

Attachment to 2013 Schedule SB, line 26 - Schedule of Active Participant Data
Summary of Active Employee Data at Collins Sub-Plans as of January 1, 2013 ¹

EIN: 52-2314475
PN: 001

ROCKWELL COLLINS, INC.
Rockwell Collins Pension Plan

Attained Age	Attained Years of Credited Service																				Total	Avg. Accrued Benefit
	Under 1 No.	Avg. Accrued Benefit	1-4 No.	Avg. Accrued Benefit	5-9 No.	Avg. Accrued Benefit	10-14 No.	Avg. Accrued Benefit	15-19 No.	Avg. Accrued Benefit	20-24 No.	Avg. Accrued Benefit	25-29 No.	Avg. Accrued Benefit	30-34 No.	Avg. Accrued Benefit	35-39 No.	Avg. Accrued Benefit	40 & Over No.	Avg. Accrued Benefit		
Under 25	3		11		9																23	1,333
25-29	87	217	125	992	56	3,150	2														270	1,101
30-34	142	325	400	1,548	246	3,795	41	7,904													870	2,609
35-39	85	375	217	1,893	444	5,123	119	8,224	41	9,584											976	4,574
40-44	85	405	196	2,147	370	5,444	213	9,097	111	9,568	14										1,238	5,896
45-49	84	442	214	2,347	405	6,344	213	10,027	360	12,995	209	14,866	30	18,458							1,439	9,286
50-54	78	487	204	2,665	472	6,788	186	10,350	284	14,111	359	18,491	287	15,271	31	20,566					1,823	12,257
55-59	47	573	118	2,943	334	6,682	169	10,562	206	13,696	200	19,552	424	24,078	150	22,842	98	21,035	20	20,697	1,659	15,530
60-64	21	404	68	2,752	167	7,049	76	10,405	99	14,586	87	18,611	140	28,618	114	31,543	48	22,168	50	21,276	793	17,650
65-69	7		24	5,564	58	7,146	16		22	18,358	21	25,889	27	27,861	21	38,452	14		42	23,307	234	17,495
70 & Over			2		4		4		4				8		1				4		23	12,457
Total	639	379	1,579	2,083	2,565	5,846	1,039	9,506	1,127	13,141	890	17,774	916	21,729	317	26,710	160	19,534	116	21,178	9,348	10,078

¹ Counts include participants who are active as of the valuation date and do not include participants on leave/layoff or transferred employees.
Note: Plan is primarily pay-related. All pay related benefits are frozen. Accrued benefits for all active participants are shown in lieu of pay.

Attachment to 2013 Schedule SB, Line 32
Schedule of Amortization Bases as of January 1, 2013

ROCKWELL COLLINS, INC.
 ROCKWELL COLLINS PENSION PLAN

Type of Base		Date Established	Initial Amount	Remaining Amortization Period (Years)	Outstanding Balance	Amortization Payment
1	Shortfall	01/01/2013	(140,325,007)	7	(140,325,007)	(23,617,496)
2	Shortfall	01/01/2012	(146,167,948)	6	(130,407,986)	(24,808,287)
3	Shortfall	01/01/2011	85,320,432	5	62,417,104	13,787,467
4	Shortfall	01/01/2010	357,034,397	12	306,720,066	35,360,373
5	Shortfall	01/01/2009	141,128,380	11	125,888,620	15,673,843
6	Shortfall	01/01/2008	306,128,088	2	98,653,419	50,583,715
Total (before Installation Acceleration Amounts)					322,946,216	66,979,615
Installation Acceleration Amounts (15-year Amortization)					N/A	11,701,416
Total					322,946,216	78,681,031

Attachment to 2013 Schedule SB, Part V
Statement of Actuarial Assumptions

ROCKWELL COLLINS, INC.
ROCKWELL COLLINS PENSION PLAN

Plan Sponsor Rockwell Collins

EIN/PN 52-2314475/001

Funding Target Methodology

The funding liability as of January 1, 2013 was determined using census data as of that date under the provisions of the Pension Protection Act of 2006. The discount rates and mortality tables used for this calculation were based on PPA and MAP-21 elections, and were adjusted according to the provisions of HATFA.

Asset method

The valuation assets are equal to the market value at January 1, 2013.

PPA Funding Relief

This report reflects the election of relief under the Preservation of Access to Care for Medicare Beneficiaries and Pension Relief Act of 2010 for plan years 2009 and 2010. The 2013 Installment Acceleration Amount under the "cash flow rule" is \$11,701,416 for the 2009 and 2010 elections. Each Installment Acceleration Amount is comprised of Excess Compensation of \$5,850,708 (calculated based on an excess compensation threshold of \$1,066,000 per individual) and Extraordinary Dividends of \$0, as provided by Rockwell Collins.

Key Valuation Assumptions:

1. **Interest rate basis:**

Applicable month	January	
Yield curve basis	3-Segment Rates	
HATFA applied for benefit restrictions	Yes	
	Without MAP-21 Corridor	With MAP-21 Corridor (including HATFA)
First segment rate	1.62%	5.23%
Second segment rate	4.40%	6.51%
Third segment rate	5.45%	7.16%
Effective interest rate	N/A	6.65%

2. Salary Increases	N/A
3. Future Increases in Maximum Benefit Limits and Plan Compensation Limits:	N/A
4. Social Security Wage Base Increases:	N/A
5. Retirement:	Retirement rates varying by age, service and sub-plan. Sample rates are attached.
6. Turnover:	Turnover rates varying by age, service and sub-plan. Sample rates are attached.
7. Mortality:	For PPA Calculations: Static mortality table for 2013 plan years as defined in PPA of 2006 and IRS Notice 2008-85.
8. Disability:	Disability incidence rates varying by age and sub-plan. Sample rates are attached.
9. Optional Forms of Payment:	Election rates varying by sub-plan. See attached table.
10. Layoff Benefits:	Laid off participants eligible to bridge to retirement assumed to retire on their earliest eligible retirement age. Laid off participants not eligible to bridge to retirement assumed to return to work.
11. Participants Missing Benefits:	Participants in payment and terminated vested participants with \$0 benefits are assumed to have the average benefit for participants of the same status within the sub-plan. Transfers with \$0 benefits are assumed to have an annual benefit of \$600.
12. Administrative Expenses:	N/A
13. Measurement Date:	January 1.

Participant data

Participant data was supplied by Rockwell Collins as of the census date.

Tax policy

The actuarial valuation performed for the plan year ending December 31, 2013 is used to determine the maximum deductible contribution for the tax year ending October 1, 2013.

Nature of actuarial calculations

The results documented in this report are estimates based on data that may be imperfect and on assumptions about future events. Certain plan provisions may be approximated or deemed insignificant and therefore are not valued. Assumptions may be made about participant data or other factors. Reasonable efforts were made in this valuation to ensure that items that are significant in the

context of the actuarial liabilities or costs are treated appropriately, and not excluded or included inappropriately.

A range of results, different from those presented in this report could be considered reasonable. The numbers are not rounded, but this is for convenience only and should not imply precision, which is not inherent in actuarial calculations.

The assumptions selected for this valuation other than those prescribed by law, generally reflect long-term average expectations. If overall future plan experience is less favorable than assumed, the relative level of plan costs or contribution requirements determined in this valuation will likely increase in future valuations. Future actuarial measurements may differ significantly from the current measurements presented in this report due to such factors as the following: plan experience differing from that anticipated by the economic or demographic assumptions; increases or decreases expected as part of the natural operation of the methodology used for the measurements (such as the end of an amortization period); and changes in plan provisions or applicable law. It is beyond the scope of this actuarial valuation to analyze the potential range of future pension contributions, but we can do so upon request.

Credit Balance Usage

Due to the Plan's 2012 FTAP, Credit Balance(s) are available to offset the 2013 Minimum Required Contributions. In addition, due to the Plan's 2013 FTAP, any remaining Credit Balance(s) will also be available to offset the 2014 Minimum Required Contributions

Changes from Prior Valuation

- The mortality table for PPA calculations was updated from the PPA static table for 2012 valuations to the PPA static table for 2013 valuations, as elected by Rockwell Collins.
- The interest rates were updated to the 3-segment interest yield curves issued by the IRS during January 2013 reflecting the average interest rates over the 24-month period from January 2011 through December 2012.
- The segment rates used to determine both minimum funding requirements and benefit restrictions reflect the corridors of MAP-21, with corridors adjusted according to the provisions of HATFA. For the 2012 valuation MAP-21 corridors were only reflected for minimum funding purposes.

Annual Rate of Retirement - Actives

<u>Age</u>	Employees Born Before 1941				Employees Born 1941 and later	
	Years of Service				Years of Service	
	<u>10</u>	<u>20</u>	<u>30</u>	<u>10</u>	<u>20</u>	<u>30</u>
<u>Aerospace Salaried Employees Sub-Plan</u>						
55	0.149	0.120	0.156	0.074	0.060	0.078
60	0.189	0.328	0.333	0.094	0.164	0.167
62	0.215	0.187	0.191	0.107	0.093	0.096
65	0.446	0.418	0.423	0.223	0.209	0.211
Certain Salaried Employees Sub-Plan						
Electronics Salaried Employees Sub-Plan						
<u>Kaiser Aerospace Employees Sub-Plan</u>						
55	0.085	0.090	0.164	0.042	0.045	0.082
60	0.116	0.186	0.196	0.058	0.093	0.098
62	0.190	0.195	0.205	0.095	0.098	0.103
65	0.336	0.341	0.351	0.168	0.170	0.175
<u>Collins Radio Production Employees Sub-Plan</u>						
55	0.087	0.140	0.195	0.043	0.070	0.098
60	0.071	0.124	0.179	0.036	0.062	0.090
62	0.300	0.353	0.408	0.150	0.177	0.204
65	0.402	0.455	0.510	0.201	0.228	0.255
Coralville Hourly Employees Sub-Plan						
<u>Electronics Offsite Hourly Employees Sub-Plan</u>						
55	0.170	0.088	0.066	0.085	0.044	0.033
60	0.068	0.052	0.034	0.034	0.026	0.017
62	0.529	0.367	0.280	0.264	0.184	0.140
65	1.000	0.682	0.556	1.000	0.341	0.278

Annual Rate of Turnover

	<u>Salaried Sub-Plans</u>	<u>Collins Radio Production</u>	<u>Coralville & Electronics Offsite</u>
<u>Service</u>		<u>Select Rates</u>	
0 to 1	0.2025	0.1725	0.1350
1 to 2	0.2025	0.1525	0.1300
2 to 3	0.1850	0.1475	0.1250
3 to 4	0.1400	0.1250	0.1200
4 to 5	0.1250	0.1000	0.1150
<u>Age</u>		<u>Ultimate Rates</u>	
20	0.1150	0.0900	0.1100
25	0.1150	0.0900	0.1100
30	0.0950	0.0850	0.1100
35	0.0750	0.0650	0.0850
40	0.0500	0.0400	0.0550
45	0.0400	0.0350	0.0450
50	0.0350	0.0250	0.0300
55	-	-	-

Employees under the age of 55 with at least 78 points are assumed to have a 0% rate of turnover.

Annual Rate of Retirement - Deferred Vested Participants

Certain Salaried
Electronics Salaried
Kaiser Salaried

25% of terminated employees with deferred vested benefits are assumed to retire at earliest eligibility.
75% of terminated employees with deferred vested benefits are assumed to retire at age 62.

Collins Production
Coralville
Electronics Offsite

Participants with 10+ years of vesting service:
40% are assumed to retire at earliest eligibility
60% are assumed to retire at age 62

Participants with less than 10 years of vesting service are assumed to retire at age 65.

Annual Rate of Disability

Collins Radio Production Employees Sub-Plan

<u>Age</u>	<u>Rate</u>
20	0.00043
30	0.00097
40	0.00219
50	0.00608
60	-

Certain Salaried Employees Sub-Plan
Coralville Hourly Employees Sub-Plan
Electronics Offsite Hourly Employees Sub-Plan
Electronics Salaried Employees Sub-Plan
Kaiser Aerospace Employees Sub-Plan

<u>Age</u>	<u>Rate</u>
20	0.00043
30	0.00097
40	0.00219
50	0.00608
60	0.01596

Optional Forms of Payment

Certain Salaried Employees Sub-Plan
Electronics Salaried Employees Sub-Plan
Kaiser Aerospace Employees Sub-Plan

Employees Married:	85% of employees.
Employees Electing Survivor Benefits:	65% of employees.
Age of Beneficiary:	Females 3 years younger than males.

Optional Forms of Payment (Cont'd)

Collins Radio Production Employees Sub-Plan
Coralville Hourly Employees Sub-Plan
Electronics Offsite Hourly Employees Sub-Plan

Employees Married:	85% of employees.
Employees Electing Survivor Benefits:	None.
Age of Beneficiary:	Females 3 years younger than males.

Percentage of Terminated Vested Employees
Assumed to Elect Survivor Benefits

Aerospace Hourly Sub-Plan, Aerospace Salaried Sub-Plan, Kaiser UAW Sub-Plan, Salaried Sub-Plans:	65% of employees.
Ashtabula Sub-Plan, Centralia Sub-Plan Kenton Hourly Sub-Plan:	85% of employees.
All Other Sub-Plans:	None.

Attachment to 2013 Schedule SB, Part V
Summary of Plan Provisions

ROCKWELL COLLINS, INC.
ROCKWELL COLLINS PENSION PLAN

Plan Benefits Valued

The valuation is based on benefit provisions in effect on the valuation date, including future increases under existing bargaining agreements.

1. Active Employees:
 - a. Salaried Employees -

Entitled to vested, accrued benefit as of September 30, 2006. Accrue eligibility service toward early retirement benefits. Employees rehired after September 30, 2006 who terminated non-vested prior to the freeze can continue to earn eligibility service.

- b. Hourly Employees -

Accrue benefits under one of the sub-plans, descriptions of which are attached.

2. Inactive Participants:

Entitled to vested, accrued benefit determined as of the date of separation.

Changes from Prior Valuation

None.

Certain Salaried Employees Sub-Plan

Outline of Benefit Provisions

1. Effective Date:
 - a. Sub-Plan - December 31, 1940.
 - b. Latest Amendment - October 31, 2005.
Benefits frozen as of September 30, 2006.
2. Definitions:
 - a. Eligible Employee - Employees on certain salaried payrolls are covered by the sub-plan.
 - b. Earnings - Total salary or wages for the year (not in excess of \$220,000 for 2006, indexed thereafter) including overtime, accrued bonuses, commissions and elective deferrals of bonus, but excluding expense reimbursement, foreign service premium, performance awards, relocation payments, tuition payments and similar items. Earnings after September 30, 2006 are not used in determining the benefit.
 - c. Average Annual Earnings - Highest amount that can be determined by averaging the Earnings for any 5 consecutive calendar years within the 10 calendar years immediately preceding the date of determination.
 - d. Social Security Earnings Limit - The lesser of Average Annual Earnings, or the average of the Social Security wage bases during the 35 calendar years ending with the calendar year before the year in which employee reaches Social Security retirement age, assuming no change in the wage base after the calendar year of determination.
 - e. Offset Percentage -

	With Pre-1993 Service	No Pre-1993 Service
<u>Year of Birth</u>		
1937 & earlier	.455%	.480%
1938 thru 1954	.425%	.455%
1955 & later	.400%	.430%

Certain Salaried Employees Sub-Plan

3. Retirement Dates:
 - a. Normal - First day of the month coincident with or next following the date employee reaches age 65.
 - b. Regular Early - First day of any month after employee reaches age 55, but before age 65.
 - c. 55/Rule of 85 - First day of any month after employee with pre-1993 service reaches age 55 (but before age 62) with 85 "points" (i.e., the sum of age and service equals 85 or more). An employee with no pre-1993 service is not eligible.
 - d. Late - First day of any month after employee reaches normal retirement date.
 - e. Disability - On total and permanent disability and entitlement to disability benefits under the LTD plan.
4. Retirement Benefits:
 - a. Normal - Annual benefit equal to the greatest of:

Career-Average ("Tack-On") Benefit: Benefit accrued December 31, 1993 plus, for each year of service thereafter through September 30, 2006, 1-1/2% of Earnings.

Alternate Benefit: For an employee with pre-1993 service, the annual benefit equals i. minus ii.:
 - i. 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years). If date of determination is prior to age 62, benefit is determined as if the employee remained in covered employment until age 62 at the average annual earnings on the date of determination, and is multiplied by the ratio of actual service to service projected to age 62.

Certain Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)

a. Normal (Cont'd) -

- ii. The Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years). If date of determination is prior to age 62, the offset is determined as if employee remained in covered employment until the earlier of age 62 or 85 "points", and is multiplied by the ratio of actual service to service projected to earlier of age 62 or 85 "points".

For an employee with no pre-1993 service, the annual benefit equals 1-1/2% of Average Annual Earnings minus Offset Percentage of the Social Security Earnings Limit, per year of credited service earned prior to September 30, 2006 (maximum 35 years).

Minimum Benefit - 1-1/2% of Average Annual Earnings up to a maximum of \$28,000 per year of credited service earned prior to September 30, 2006 (no maximum).

b. Regular Early -

Benefit determined as for normal retirement, based on service and earnings to earlier of early retirement date and September 30, 2006; payable immediately with reduction of 1/2% for each month that benefit commencement precedes the following un-reduced retirement ages:

Benefit <u>Attributable To</u>	With Pre-1993 <u>Service</u>	No Pre-1993 <u>Service</u>
Pre-2003 Service	60	62
Post-2002 Service	62	62

Certain Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
b. Regular Early (Cont'd) -

Supplemental Benefit: If employee is at least age 60 and has 15 years of service or an employee is at least age 55 and has 30 years of service, a supplement of \$325 per month is payable until the earliest of age 62, eligibility for Social Security benefits, or death. If employee attained eligibility for supplemental benefit after September 30, 2006, the monthly supplement is multiplied by the ratio of service at September 30, 2006 to service at the date that eligibility for the supplemental benefit was attained.

- c. 55/Rule of 85 -

PRE-2003 RETIREMENTS

Lifetime Benefit: Greater of:

- i. Regular early retirement benefit.
- ii. $2\frac{2}{3}\%$ of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus $\frac{1}{2}\%$ of such earnings per year in excess of 15 (maximum 20 years),

minus

The Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years).

Benefit Prior to Age 62: Greater of:

- iii. Regular early retirement benefit including any supplement.
- iv. $2\frac{2}{3}\%$ of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus $\frac{1}{2}\%$ of such earnings per year in excess of 15 (maximum 20 years).

Certain Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
c. 55/Rule of 55 (Cont'd) -

POST-2002 RETIREMENTS

Lifetime Benefit: Greater of:

- i. Regular early retirement benefit.
- ii. Sum of (A) plus (B):
 - (A) 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years),

minus

the Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years), based on credited service projected to the later of 12/31/2002 and attainment of 85 "points", with the net result multiplied by the ratio of credited service at 12/31/2002 to such projected service.
 - (B) 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years),

Certain Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
c. 55/Rule of 55 (Cont'd) -

minus

the Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years),

minus

the amount determined in (A) above, with the net result reduced by 1/2% for each month that benefit commencement precedes age 62.

Benefit Prior to Age 62: Greater of:

- iii. Regular early retirement benefit including any supplement.
- iv. Sum of (A) plus (B):
 - (A) 2-2/3% of Average Annual Earnings per year of service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years), based on credited service projected to the later of 12/31/2002 and the attainment of 85 points, the result multiplied by the ratio of credited service at 12/31/2002 to such projected service.
 - (B) Amount determined in ii.(B) above.

- d. Late -

Benefit determined as for normal retirement, based on service and earnings to earlier of actual retirement date and September 30, 2006.

Certain Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
 - e. Disability -

Benefit determined as for normal retirement, based on service and earnings to earlier of date of disability and September 30, 2006; payable at normal retirement date. If employee recovers before normal retirement date and returns to work, period of disability is counted in determining vesting service and credited service.
5. Termination Benefits:

On termination of employment after 5 years of service, an employee is entitled to a deferred vested benefit determined as for normal retirement, based on credited service and earnings to earlier of date of determination and September 30, 2006. The benefit is payable without reduction beginning at age 62, or with reduction beginning as early as age 55. If employee dies before benefits commence, the surviving spouse will receive a benefit (commencing when the employee would have attained age 55 or at death, whichever is later) as if the employee had survived to age 55, retired with the joint and survivor annuity in 7.c. below, and then died.
6. Death Benefits Before Retirement:
 - a. Lump Sum -

On death of employee, a lump-sum death benefit equal to one year's base salary at earlier of date of death and September 30, 2006, or death benefit accrued as of December 31, 1971 if greater, is payable to the employee's designated beneficiary.
 - b. Survivor Benefit -

In lieu of the lump-sum benefit in 6.a. above, the surviving spouse is entitled to the following annual benefit:

 - i. On death after age 55, the greater of 25% of the Average Annual Earnings at earlier of date of death and September 30, 2006 (reduced 1-1/2% for each year that the spouse is more than 5 years younger than the employee) or the survivor benefit the spouse would have received if the employee had retired and elected the joint and survivor annuity in 7.c. below.

Certain Salaried Employees Sub-Plan

6. Death Benefits Before Retirement:
(Cont'd)
 - b. Survivor Benefit - (Cont'd)
 - ii. On death after 10 years of service and prior to age 55, 25% of the Average Annual Earnings at earlier of date of death and September 30, 2006 (reduced by 1-1/2% for each year that the spouse is more than 5 years younger than the employee).
 - iii. On death after 5 years but less than 10 years of service and prior to age 55, the survivor benefit the spouse would have received if the employee had survived to age 55, retired with the joint and survivor annuity in 7.c. below, and then died, with payments commencing when employee would have attained age 55.
7. Death Benefits After Retirement:
 - a. Lump Sum - None.
 - b. Normal Form for Single Participants - Single life annuity.
 - c. Normal Form for Married Participants - Joint and survivor annuity providing an income of 95% of the benefit otherwise payable during the employee's lifetime and, after his death, 60% of the reduced benefit during the remaining lifetime of the surviving spouse.
 - d. Optional Forms - Surviving spouse option for 90%/75% or 85%/100%; joint annuitant option for 50%, 75% or 100% with approximate actuarial reduction.
8. Employee Contributions: None.

Collins Radio Production Employees Sub-Plan

Outline of Benefit Provisions

1. Effective Date:
 - a. Sub-Plan - January 1, 1947.
 - b. Latest Amendment - May 1, 2008.
2. Eligibility: Bargaining unit employees of Collins Radio.
3. Retirement Dates:
 - a. Normal - First day of the month following the employee's 65th birthday.
 - b. Early - First day of any month after the employee reaches age 55 and completes 10 years of vesting service, but before age 65.
 - c. Late - First day of any month after normal retirement date.
 - d. Disability - On total and permanent disability at any age after 10 years of vesting service.
4. Retirement Benefits:
 - a. Normal - Monthly benefit equals the post-4/30/92 benefit unit times post-4/30/92 service (maximum 30 years), plus the pre-5/1/92 benefit unit times total service (maximum 30 years) in excess of post-4/30/92 service, plus a lifetime supplement of \$50. 12/31/92 is used instead of 4/30/92 for any employee eligible to retire before 1/1/93.

Collins Radio Production Employees Sub-Plan

4. Retirement Benefits: (Cont'd)

a. Normal (Cont'd) -

Post-4/30/92 benefit unit:

Labor Grade	Cedar Rapids IBEW 1362	Cedar Rapids IBT 238	Cedar Rapids IBEW 1429	Dallas IUE 787
1	\$44.00			\$44.00
2	48.00			45.75
3	49.50			47.25
4	51.75			49.75
5	54.75		\$52.00	52.75
6	57.75	\$48.00		56.50
7	60.75	49.50	47.00	60.00
8	64.00	51.75		63.75
9	66.50	53.25		67.25
10	69.00	54.75		69.00
11		57.75		
12		60.75		

Pre-5/1/92 benefit unit: 102% of the greater of \$18 or 1/12 the sum of \$44.20 plus 1.9% of the highest average W-2 pay for 3 consecutive calendar years out of the 10 calendar years preceding the earlier of the date of termination or 5/1/92. Pre-5/1/92 benefit unit further increased by 6% for retirements between 5/1/2003 and 3/31/2010 and 3% for retirements on 4/1/2010 and thereafter.

b. Early -

Benefit determined as for normal retirement, based on credited service and labor grade at early retirement date, payable immediately with subsidized reduction from age 62. Lifetime supplement payable without reduction.

c. Late -

Greater of:

- i) Benefit determined as for normal retirement, based on credited service and labor grade at actual retirement date and
- ii) Benefit determined based on credited service and labor grade at normal retirement date, actuarially increased to account for payment at actual retirement date

d. Disability -

Benefit determined as for normal retirement, based on credited service and labor grade at date of disability, payable immediately with subsidized reduction from age 62. Lifetime supplement payable without reduction.

Collins Radio Production Employees Sub-Plan

5. Termination Benefits: On termination of employment after 5 years of vesting service, an employee is entitled to a deferred vested benefit determined as for normal retirement, based on credited service and labor grade at date of termination. The deferred vested benefit is payable without reduction beginning at age 65 or with subsidized reduction from age 62 at any time after age 55 if the employee had at least 10 years of vesting service at termination. Lifetime supplement payable without reduction.
6. Death Benefits Before Retirement: Upon death after 1 year of marriage and 5 years of vesting service, the surviving spouse will receive 50% of the benefit which would have been payable to the employee if the employee had retired on the first day of the month in which the employee died and had taken the joint and survivor annuity. If death occurs prior to the employee's earliest retirement date, the benefit will commence when the employee would have been eligible to retire and will be determined as if the employee had survived to that date and then died.
7. Death Benefits After Retirement:
 - a. Normal Form for Single Participants - Single life annuity.
 - b. Normal Form for Married Participants - A married employee who does not elect a straight life annuity will automatically receive a benefit payable during the employee's lifetime consisting of the lifetime supplement plus 88% of the balance of the otherwise determined retirement benefit. On the employee's death, 50% of the reduced income will continue to the surviving spouse for the spouse's remaining lifetime. The employee's percentage is reduced 1/2% for each year that the employee's age exceeds the spouse's age, or increased 1/2% for each year that the spouse's age exceeds the employee's age (maximum increase is 10%).
 - c. Optional Forms - Actuarially equivalent joint and survivor annuity for 50%, 75% or 100% or Social Security leveling option.
8. Employee Contributions: None.

Coralville Hourly Employees Sub-Plan

Outline of Benefit Provisions

1. Effective Date:
 - a. Sub-Plan - April 1, 1986.
 - b. Latest Amendment - May 1, 2008.
2. Eligibility: Hourly payroll employees of the Coralville, Iowa Plant are covered by the sub-plan.
3. Retirement Dates:
 - a. Normal - First day of the month following the employee's 65th birthday.
 - b. Early - First day of any month after the employee reaches age 55 and completes 5 years of vesting service, but before normal retirement age.
 - c. Late - First day of any month after employee reaches normal retirement date.
 - d. Disability - None.
4. Retirement Benefits:
 - a. Normal - Monthly benefit equals \$32.00 per year of credited service (maximum 30 years).
 - b. Early - Monthly benefit determined as for normal retirement, based on service credited to early retirement date, payable immediately with reduction of 1/2% for each month by which actual retirement precedes normal retirement date.
 - c. Late - Benefit determined as for normal retirement, based on employee's credited service to actual retirement date.
 - d. Disability - Benefit determined as for normal retirement, based on credited service and labor grade at date of disability, payable immediately with subsidized reduction from age 62. Lifetime supplement payable without reduction.

Coralville Hourly Employees Sub-Plan

5. Termination Benefits: On termination of employment after 5 years of vesting service, an employee is entitled to a deferred vested benefit determined as for normal retirement, based on his service credited to his date of termination. The deferred vested benefit is payable without reduction at or after age 65, or beginning at any time after age 55 with reduction of 1/2% for each month by which benefit commencement precedes age 65. If the employee dies after one year of marriage and before benefits commence, his surviving spouse will receive a benefit (commencing at age 55 or at death, whichever is later) as if the employee had survived to age 55, retired with an actuarially reduced joint and 50% survivor annuity, and then died.
6. Death Benefits Before Retirement: Upon death after one year of marriage and 5 years of vesting service, the surviving spouse will receive 50% of the benefit which would have been payable to the employee if he had retired on the first day of the month in which he died and had taken the joint and survivor annuity. If death occurs prior to age 55 and after 5 years of vesting service, the benefit will commence at age 55 and will be determined as if the employee had survived to age 55 and then died. If death occurs prior to age 65 with less than 5 years of vesting service, the benefit will commence at age 65 and will be determined as if the employee had survived to age 65 and then died.
7. Death Benefits After Retirement:
- a. Normal Form for Single Participants - Single life annuity.
 - b. Normal Form for Married Participants - Reduced joint and survivor annuity providing 50% of the employee's reduced benefit to the spouse after his death. Reduction is 10%, plus 1/24% for each month employee's age exceeds spouse's age by more than 60 months, or minus 1/24% for each month spouse's age exceeds employee's age by more than 60 months. Not effective during first year of marriage.
8. Employee Contributions: None.

Electronics Salaried Employees Sub-Plan

Outline of Benefit Provisions

1. Effective Date:
 - a. Sub-Plan - January 1, 1947.
 - b. Latest Amendment - October 31, 2005. Benefits frozen as of September 30, 2006.
2. Definitions:
 - a. Eligible Employee - Salaried employees at certain locations of Electronics Operations are covered by the sub-plan.
 - b. Earnings - Total salary or wages for the year (not in excess of \$220,000 for 2006, indexed thereafter) including overtime, accrued bonuses, commissions and elective deferrals of bonus, but excluding expense reimbursement, foreign service premium, performance awards, relocation payments, tuition payments and similar items. Earnings after September 30, 2006 are not used in determining the benefit.
 - c. Average Annual Earnings - Highest amount that can be determined by averaging the Earnings for any 5 consecutive calendar years within the 10 calendar years immediately preceding the date of determination.
 - d. Social Security Earnings Limit - The lesser of Average Annual Earnings, or the average of the Social Security wage bases during the 35 calendar years ending with the calendar year before the year in which employee reaches Social Security retirement age, assuming no change in the wage base after the calendar year of determination.
 - e. Offset Percentage -

	With Pre-1993 <u>Service</u>	No Pre-1993 <u>Service</u>
<u>Year of Birth</u>		
1937 & earlier	.455%	.480%
1938 thru 1954	.425%	.455%
1955 & later	.400%	.430%

Electronics Salaried Employees Sub-Plan

3. Retirement Dates:
 - a. Normal - First day of the month coincident with or next following the date employee reaches age 65.
 - b. Regular Early - First day of any month after employee reaches age 55, but before age 65.
 - c. 55/Rule of 85 - First day of any month after employee with pre-1993 service reaches age 55 (but before age 62) with 85 "points" (i.e., the sum of age and service equals 85 or more). An employee with no pre-1993 service is not eligible.
 - d. Late - First day of any month after employee reaches normal retirement date.
 - e. Disability - On total and permanent disability and entitlement to disability benefits under the LTD plan.
4. Retirement Benefits:
 - a. Normal - Annual benefit equal to the greatest of:

Career-Average ("Tack-On") Benefit: Benefit accrued December 31, 1993 plus, for each year of service thereafter through September 30, 2006, 1-1/2% of Earnings.

Alternate Benefit: For an employee with pre-1993 service, the annual benefit equals i. minus ii.:
 - i. 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years). If date of determination is prior to age 62, benefit is determined as if the employee remained in covered employment until age 62 at the average annual earnings on the date of determination, and is multiplied by the ratio of actual service to service projected to age 62.

Electronics Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)

a. Normal (Cont'd) -

- ii The Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years). If date of determination is prior to age 62, the offset is determined as if employee remained in covered employment until the earlier of age 62 or 85 "points", and is multiplied by the ratio of actual service to service projected to earlier of age 62 or 85 "points".

For an employee with no pre-1993 service, the annual benefit equals 1-1/2% of Average Annual Earnings minus Offset Percentage of the Social Security Earnings Limit, per year of credited service earned prior to September 30, 2006 (maximum 35 years).

Minimum Benefit - 1-1/2% of Average Annual Earnings up to a maximum of \$28,000 per year of credited service earned prior to September 30, 2006 (no maximum).

b. Regular Early -

Benefit determined as for normal retirement, based on service and earnings to earlier of early retirement date and September 30, 2006; payable immediately with reduction of 1/2% for each month that benefit commencement precedes the following unreduced retirement ages:

Benefit <u>Attributable To</u>	With Pre-1993 <u>Service</u>	No Pre-1993 <u>Service</u>
Pre-2003 Service	60	62
Post-2002 Service	62	62

Supplemental Benefit: If employee is at least age 60 and has 15 years of service or an employee is at least age 55 and has 30 years of service, a supplement of \$325 per month is payable until the earliest of age 62, eligibility for Social Security benefits, or death. If employee attained eligibility for supplemental benefit after September 30, 2006, the monthly supplement is multiplied by the ratio of service at September 30, 2006 to service at the date that eligibility for the supplemental benefit was attained.

Electronics Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
c. 55/Rule of 85 -

PRE-2003 RETIREMENTS

Lifetime Benefit: Greater of:

- i. Regular early retirement benefit.
- ii. 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years),

minus

The Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years).

Benefit Prior to Age 62: Greater of:

- iii. Regular early retirement benefit including any supplement.
- iv. 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years).

POST-2002 RETIREMENTS

Lifetime Benefit: Greater of:

- i. Regular early retirement benefit.
- ii. Sum of (A) plus (B):
 - (A) 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years),

Electronics Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
c. 55/Rule of 85 -

minus

the Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years), based on credited service projected to the later of 12/31/2002 and attainment of 85 "points", with the net result multiplied by the ratio of credited service at 12/31/2002 to such projected service.

- (B) 2-2/3% of Average Annual Earnings per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years),

minus

the Offset Percentage of the Social Security Earnings Limit per year of credited service earned prior to September 30, 2006 (maximum 15 years) plus .25% of such limit per year in excess of 15 (maximum 20 years),

minus

the amount determined in (A) above, with the net result reduced by 1/2% for each month that benefit commencement precedes age 62.

Electronics Salaried Employees Sub-Plan

4. Retirement Benefits: (Cont'd)
- c. 55/Rule of 85 (Cont'd) - Benefit Prior to Age 62: Greater of:
- iii. Regular early retirement benefit including any supplement.
 - iv. Sum of (A) plus (B):
 - (A) 2-2/3% of Average Annual Earnings per year of service earned prior to September 30, 2006 (maximum 15 years) plus 1/2% of such earnings per year in excess of 15 (maximum 20 years), based on credited service projected to the later of 12/31/2002 and the attainment of 85 points, the result multiplied by the ratio of credited service at 12/31/2002 to such projected service.
 - (B) Amount determined in ii.(B) above.
- d. Late - Benefit determined as for normal retirement, based on service and earnings to earlier of actual retirement date and September 30, 2006.
- e. Disability - Benefit determined as for normal retirement, based on service and earnings to earlier of date of disability and September 30, 2006; payable at normal retirement date. If employee recovers before normal retirement date and returns to work, period of disability is counted in determining vesting service and credited service.
5. Termination Benefits: On termination of employment after 5 years of service, an employee is entitled to a deferred vested benefit determined as for normal retirement, based on credited service and earnings to earlier of date of termination and September 30, 2006. The benefit is payable without reduction beginning at age 62, or with reduction beginning as early as age 55. If employee dies before benefits commence, the surviving spouse will receive a benefit (commencing when the employee would have attained age 55 or at death, whichever is later) as if the employee had survived to age 55, retired with the joint and survivor annuity in 7.c. below, and then died.

Electronics Salaried Employees Sub-Plan

6. Death Benefits Before Retirement:
 - a. Lump Sum -

On death of employee, a lump-sum death benefit equal to one year's base salary at earlier of date of death and September 30, 2006 is payable to the employee's designated beneficiary.
 - b. Survivor Benefit -

In lieu of the lump-sum benefit in 6.a. above, the surviving spouse is entitled to the following annual benefit:

 - i. On death after age 55, 25% of Average Annual Earnings at earlier of date of death and September 30, 2006 (reduced 1-1/2% for each year that the spouse is more than 5 years younger than the employee).
 - ii. On death after 5 years but less than 10 years of service and prior to age 55, the survivor benefit the spouse would have received if the employee had survived to age 55, retired with the joint and survivor annuity in 7.c. below, and then died, with payments commencing when employee would have attained age 55.
7. Death Benefits After Retirement:
 - a. Lump Sum -

None.
 - b. Normal Form for Single Participants -

Single life annuity.
 - c. Normal Form for Married Participants -

Joint and survivor annuity providing an income of 95% of the benefit otherwise payable during the employee's lifetime and, after his death, 60% of the reduced benefit during the remaining lifetime of the surviving spouse.
 - d. Optional Forms -

Surviving spouse option for 90%/75% or 85%/100%; joint annuitant option for 50%, 75% or 100% with approximate actuarial reduction.
8. Employee Contributions:

None.

Kaiser Aerospace Retirement Plan

Outline of Benefit Provisions

1. Effective Date:
 - a. Plan - January 1, 1976.
 - b. Latest Amendment - October 31, 2004. Benefits frozen as of September 30, 2006.
2. Definitions:
 - a. Eligible Employee - Salaried employees of the Kaiser Aerospace operations acquired by Rockwell Collins are covered by the plan.
 - b. Earnings - Total salary or wages for the year (not in excess of \$220,000 for 2006, indexed thereafter) including overtime, accrued bonuses, commissions and elective deferrals of bonus, but excluding expense reimbursement, foreign service premium, performance awards, relocation payments, tuition payments and similar items. Earnings after September 30, 2006 are not used in determining the benefit.
 - c. Average Annual Earnings - Highest amount that can be determined by averaging the Earnings for any 5 consecutive calendar years within the 10 calendar years immediately preceding the date of determination.
 - d. Social Security Earnings Limit - The lesser of Average Annual Earnings, or the average of the Social Security wage bases during the 35 calendar years ending with the calendar year before the year in which employee reaches Social Security retirement age, assuming no change in the wage base after the calendar year of determination.
 - e. Offset Percentage -

<u>Year of Birth</u>	
1937 & earlier	.480%
1938 thru 1954	.455%
1955 & later	.430%
3. Retirement Dates:
 - a. Normal - First day of the month coincident with or next following the date employee reaches age 65.

Kaiser Aerospace Retirement Plan

3. Retirement Dates: (Cont'd)

- b. Early - First day of any month after employee reaches age 55, but before age 65.
- c. Late - First day of any month after employee reaches normal retirement date.
- d. Disability - None.

4. Retirement Benefits:

a. Normal -

Annual benefit equal to the greatest of:

Career-Average ("Tack-On") Benefit: Benefit accrued under the prior formula as of 12/31/2000 plus, for each year of service thereafter through September 30, 2006, 1-1/2% of Earnings.

1-1/2% of Average Annual Earnings minus Offset Percentage of the Social Security Earnings Limit, per year of credited service earned prior to September 30, 2006 (maximum 35 years).

Minimum Benefit - 1-1/2% of Average Annual Earnings up to a maximum of \$28,000 per year of credited service, earned prior to September 30, 2006 (no maximum).

b. Early -

Benefit determined as for normal retirement, based on service and earnings to earlier of early retirement date and September 30, 2006; payable immediately with reduction of 1/2% for each month that benefit commencement precedes age 62.

Supplemental Benefit: If employee is at least age 60 and has 15 years of service or an employee is at least age 55 and has 30 years of service, a supplement of \$325 per month is payable until the earliest of age 62, eligibility for Social Security benefits, or death. If employee attained eligibility for supplemental benefit after September 30, 2006, the monthly supplement is multiplied by the ratio of service at September 30, 2006 to service at the date that eligibility for the supplemental benefit was attained.

c. Late -

Benefit determined as for normal retirement, based on service and earnings to earlier of actual retirement date and September 30, 2006.

d. Disability -

None.

Kaiser Aerospace Retirement Plan

5. Termination Benefits: On termination of employment after 5 years of service, an employee is entitled to a deferred vested benefit determined as for normal retirement, based on credited service and earnings to earlier of date of termination and September 30, 2006. The benefit is payable without reduction beginning at age 62, or with reduction beginning as early as age 55. If employee dies before benefits commence, the surviving spouse will receive a benefit (commencing when the employee would have attained age 55 or at death, whichever is later) as if the employee had survived to age 55, retired with the joint and survivor annuity in 7.c. below, and then died.
6. Death Benefits Before Retirement:
 - a. Lump Sum - On death of employee, a lump-sum death benefit equal to one year's base salary at earlier of date of death and September 30, 2006 is payable to the employee's designated beneficiary.
 - b. Survivor Benefit - In lieu of the lump-sum benefit in 6.a. above, the surviving spouse is entitled to the following annual benefit:
 - i. On death after age 55, 25% of Average Annual Earnings at earlier of date of death and September 30, 2006 (reduced 1-1/2% for each year that the spouse is more than 5 years younger than the employee).
 - ii. On death after 5 years but less than 10 years of service and prior to age 55, the survivor benefit the spouse would have received if the employee had survived to age 55, retired with the joint and survivor annuity in 7.c. below, and then died, with payments commencing when employee would have attained age 55.
7. Death Benefits After Retirement:
 - a. Lump Sum - None.
 - b. Normal Form for Single Participants - Single life annuity.
 - c. Normal Form for Married Participants - Joint and survivor annuity providing an income of 95% of the benefit otherwise payable during the employee's lifetime and, after his death, 60% of the reduced benefit during the remaining lifetime of the surviving spouse.

d. Optional Forms -

Surviving spouse option for 90%/75% or 85%/100%;
joint annuitant option for 50%, 75% or 100% with
approximate actuarial reduction.

8. Employee Contributions:

None.

Off-Site Electronics Sub-Plan

Outline of Benefit Provisions

1. Effective Date:
 - a. Plan Merger - December 31, 1993.
 - b. Latest Amendment - October 31, 2005. Benefits frozen as of September 30, 2006.
2. Eligibility: Employees entitled to benefits under the following former retirement plans:

Bellevue, Iowa Hourly Payroll
Decorah, Iowa Hourly Payroll
Manchester, Iowa Hourly Payroll
Mason City, Iowa Hourly Payroll
Sumner, Iowa Hourly Payroll
Maine Electronics Inc. Hourly Payroll
Maine Electronics Inc. Salary Payroll
3. Retirement Dates:
 - a. Normal - First day of the month following the employee's 65th birthday.
 - b. Early - First day of any month after the employee reaches age 55 and completes 10 years of vesting service, but before normal retirement age.
 - c. Late - First day of any month following normal retirement date.
 - d. Disability - On total and permanent disability after 10 years of vesting service.

Off-Site Electronics Sub-Plan

4. Retirement Benefits:

a. Normal -

Monthly benefit equals the following benefit unit for each year of credited service earned prior to September 30, 2006 (maximum 30 years):

	Bellevue Decorah <u>Manchester</u>	Mason City <u>Sumner</u>
<u>Labor Grade</u>		
A	\$18.00	\$12.00
B	19.00	13.00
C	20.00	14.00

For employees of the former Maine Hourly and Maine Salaried plans, the benefit unit is \$10.00 and the maximum service is 35 years.

b. Early -

Monthly benefit determined as for normal retirement, based on service credited to earlier of early retirement date and September 30, 2006, payable immediately with reduction of 1/2% for each month by which actual retirement precedes normal retirement date.

c. Late -

Benefit determined as for normal retirement, based on employee's credited service to earlier of his actual retirement date and September 30, 2006.

d. Disability -

Monthly benefit determined as for normal retirement, based on service credited to earlier of date of disability and September 30, 2006, payable without reduction after 6 months of disability.

5. Termination Benefits:

On termination of employment after 5 years of vesting service, an employee is entitled to a deferred vested benefit determined as for normal retirement, based on his service credited to earlier of his date of termination and September 30, 2006. The deferred vested benefit is payable without reduction at or after age 65, or beginning at any time after age 55 with reduction of 1/2% for each month by which benefit commencement precedes age 65. If the employee dies after one year of marriage and before benefits commence, his surviving spouse will receive a benefit (commencing at age 55 or at death, whichever is later) as if the employee had survived to age 55, retired with an actuarially reduced joint and 50% survivor annuity, and then died.

Off-Site Electronics Sub-Plan

6. Death Benefits Before Retirement: Upon death after one year of marriage and 5 years of vesting service, the surviving spouse will receive 50% of the benefit which would have been payable to the employee if he had retired on the first day of the month in which he died and had taken the joint and survivor annuity. If death occurs prior to age 55 and after 10 years of vesting service, the benefit will commence at age 55 and will be determined as if the employee had survived to age 55 and then died. If death occurs prior to age 65 with less than 10 years of vesting service, the benefit will commence at age 65 and will be determined as if the employee had survived to age 65 and then died.
7. Death Benefits After Retirement:
- a. Lump Sum - \$1,000 payable to the beneficiary of an early retiree and, if the retiree is not covered by group insurance, to the beneficiary of a disabled, late or normal retiree. The beneficiary of a terminated vested retiree will not receive the lump sum. If the former plan is Maine Salaried, the amount payable is \$1,000 to \$5,000 depending on pay. This benefit will be eliminated for active employees as of October 1, 2006 and retirees as of January 1, 2007.
 - b. Normal Form for Single Participants - Single life annuity.
 - c. Normal Form for Married Participants - Reduced joint and survivor annuity providing 50% (55% if former plan is Maine) of the employee's reduced benefit to the spouse after his death. Reduction is 10%, plus 1/24% for each month employee's age exceeds spouse's age by more than 60 months, or minus 1/24% for each month spouse's age exceeds employee's age by more than 60 months. Not effective during first year of marriage.
8. Employee Contributions: None.