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 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

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

OMB Nos. 1210-0110
1210-0089

2016

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016

A This return/report is for:
- [ ] a multiemployer plan
- [ ] a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- [X] a single-employer plan
- [ ] a DFE (specify) ____

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

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

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

Part II Basic Plan Information—enter all requested information

1a Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

1b Three-digit plan number (PN) ▶ 002

1c Effective date of plan 07/01/1959

2a Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
DUKE ENERGY CORPORATION

550 SOUTH TRYON STREET
CHARLOTTE, NC 28203

2b Employer Identification Number (EIN) 20-2777218

2c Plan Sponsor's telephone number 704-382-8712

2d Business code (see instructions) 221100

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	07/26/2017	THOMAS SILINSKI
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

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

Preparer's telephone number

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

DUKE ENERGY BENEFITS COMMITTEE

550 SOUTH TRYON STREET
CHARLOTTE, NC 28203

3b Administrator's EIN: 20-2777218

3c Administrator's telephone number: 704-382-8712

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

a Sponsor's name

4b EIN

4c PN

5	Total number of participants at the beginning of the plan year	**5**	35927
6	Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**).		
a(1)	Total number of active participants at the beginning of the plan year	**6a(1)**	28034
a(2)	Total number of active participants at the end of the plan year	**6a(2)**	27200
b	Retired or separated participants receiving benefits	**6b**	478
c	Other retired or separated participants entitled to future benefits	**6c**	7590
d	Subtotal. Add lines **6a(2)**, **6b**, and **6c**.	**6d**	35268
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	133
f	Total. Add lines **6d** and **6e**.	**6f**	35401
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	35044
h	Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	646
7	Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

2E 2F 2G 2J 2K 2O 2S 2R 2T

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

9a Plan funding arrangement (check all that apply)

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

9b Plan benefit arrangement (check all that apply)

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

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

a Pension Schedules

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

b General Schedules

(1)	☒		**H** (Financial Information)
(2)	☐		**I** (Financial Information – Small Plan)
(3)	☐	0	**A** (Insurance Information)
(4)	☒		**C** (Service Provider Information)
(5)	☒		**D** (DFE/Participating Plan Information)
(6)	☐		**G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2016 Form M-1 annual report. If the plan was not required to file the 2016 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2016** **This Form is Open to Public Inspection.**

For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016

A Name of plan	**B** Three-digit plan number (PN) ▶	
DUKE ENERGY RETIREMENT SAVINGS PLAN		002
C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)	
DUKE ENERGY CORPORATION	20-2777218	

Part I Service Provider Information (see instructions)

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

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

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

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

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

FINANCIAL ENGINES

77-0473565

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	NONE	3735699	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
64 71 37 65	NONE	2202222	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] No [ ]

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

INTERNAL REVENUE SERVICE

04-3852757

(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?
50	NONE	184525	Yes [ ] No [X]	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)

FIDUCIARY COUNSELORS INC

22-3709903

(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?
31	NONE	47554	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

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

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

Part I Service Provider Information (continued)

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

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

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BROKERAGELINK 04-2647786	SEE ATTACHED DOCUMENT FOR ALL FEES RELATED TO FUND

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

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

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

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

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

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

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

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

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

(complete as many entries as needed)

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

DFE/Participating Plan Information

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

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

OMB No. 1210-0110

2016

This Form is Open to Public Inspection.

For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

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

D Employer Identification Number (EIN)
20-2777218

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

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

b Name of sponsor of entity listed in (a): WELLS FARGO BANK NA

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)
94-1347393-000	C	612018000

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

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b Name of plan sponsor	**c** EIN-PN

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b Name of plan sponsor	**c** EIN-PN

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b Name of plan sponsor	**c** EIN-PN

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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)

Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

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

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

OMB No. 1210-0110

2016

This Form is Open to Public Inspection

For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

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

D Employer Identification Number (EIN)
20-2777218

Part I Asset and Liability Statement

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

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	3255000	3474000
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)		
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)	1810439000	0
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	133288000	131914000
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(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)	4582881000	4931309000
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	575238000	612018000

			(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:			
	(1) Employer securities	1d(1)	0	1798526000
	(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	7105101000	7477241000
	Liabilities			
g	Benefit claims payable	1g		
h	Operating payables	1h		
i	Acquisition indebtedness	1i		
j	Other liabilities	1j		
k	Total liabilities (add all amounts in lines 1g through1j)	1k	0	0
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	7105101000	7477241000

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)	166948000	
	(B) Participants	2a(1)(B)	257152000	
	(C) Others (including rollovers)	2a(1)(C)	15887000	
	(2) Noncash contributions	2a(2)		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		439987000
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)		
	(B) U.S. Government securities	2b(1)(B)		
	(C) Corporate debt instruments	2b(1)(C)		
	(D) Loans (other than to participants)	2b(1)(D)		
	(E) Participant loans	2b(1)(E)	5382000	
	(F) Other	2b(1)(F)		
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		5382000
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
	(B) Common stock	2b(2)(B)	61241000	
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	16370000	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		77611000
	(3) Rents	2b(3)		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)		
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)		
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		0
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
	(B) Other	2b(5)(B)	164382000	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		164382000

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		11197000
(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)		385304000
c Other income	2c		30899000
d Total income. Add all **income** amounts in column (b) and enter total	2d		1114762000
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	736452000	
(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)		736452000
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)	2202000	
(3) Investment advisory and management fees	2i(3)	3736000	
(4) Other	2i(4)	232000	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		6170000
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		742622000
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		372140000
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) [X] Unqualified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

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

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

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

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

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

Part IV Compliance Questions

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

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a		X	
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	4b		X	

			Yes	No	Amount
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	4c		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	4d		X	
e	Was this plan covered by a fidelity bond?	4e	X		1000000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	4f		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	4g		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	4h		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	4i	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.)	4j		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	4k		X	
l	Has the plan failed to provide any benefit when due under the plan?	4l		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	4m		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	4n			
o	Defined Benefit Plan or Money Purchase Pension Plan Only: Were any distributions made during the plan year to an employee who attained age 62 and had not separated from service?	4o			

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
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year_____. (See instructions.)

Part V Trust Information

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

6c Name of trustee or custodian	**6d** Trustee's or custodian's telephone number

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 sections 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

2016

This Form is Open to Public Inspection.

For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016

A Name of plan
DUKE ENERGY RETIREMENT SAVINGS PLAN

B Three-digit plan number (PN) ▶ 002

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

D Employer Identification Number (EIN)
20-2777218

Part I Distributions

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

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

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

EIN(s): 04-6568107

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

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

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

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

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

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

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

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

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

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

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

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

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

Part III Amendments

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

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

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

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

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

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

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Part VII IRS Compliance Questions

20a Is the plan a 401(k) plan? If "No," skip b	☐ Yes ☐ No
20b How did the plan satisfy the nondiscrimination requirements for employee deferrals under section 401(k)(3) for the plan year? Check all that apply:	☐ Design-based safe harbor ☐ "Prior year" ADP test ☐ "Current year" ADP test ☐ N/A
21a What testing method was used to satisfy the coverage requirements under section 410(b) for the plan year? Check all that apply:	☐ Ratio percentage test ☐ Average benefit test ☐ N/A
21b Did the plan satisfy the coverage and nondiscrimination requirements of sections 410(b) and 401(a)(4) for the plan year by combining this plan with any other plan under the permissive aggregation rules?	☐ Yes ☐ No

22a If the plan is a master and prototype plan (M&P) or volume submitter plan that received a favorable IRS opinion letter or advisory letter, enter the date of the letter _____/_____/_____ and the serial number _____.

22b If the plan is an individually-designed plan that received a favorable determination letter from the IRS, enter the date of the most recent determination letter _____/_____/_____.

Duke Energy
Retirement Savings Plan

Independent Auditors' Report
and Financial Statements

December 31, 2016 and 2015

DUKE ENERGY
RETIREMENT SAVINGS PLAN

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

MJ
McCONNELL & JONES LLP
CERTIFIED PUBLIC ACCOUNTANTS

Independent Auditors' Report

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

Report on the Financial Statements

We have audited the accompanying financial statements of the Duke Energy Retirement Savings Plan (the Plan), which comprise the Statements of Net Assets Available for Benefits as of December 31, 2016 and 2015 and the related Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2016, and the related Notes to Financial Statements.

Plan Management's Responsibility for the Financial Statements

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

Auditors' Responsibility

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

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

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

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Suite 1000
Houston, TX 77081
Phone: 713.968.1600
Fax: 713.968.1601

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Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2016 and 2015, and the changes in net assets available for benefits for the year ended December 31, 2016, in accordance with US GAAP.

Report on Supplementary Information

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

McConnell & Jones LLP

Houston, Texas
July 26, 2017

DUKE ENERGY
RETIREMENT SAVINGS PLAN
Statements of Net Assets Available for Benefits
December 31, 2016 and 2015

(IN THOUSANDS)

	2016	2015
Assets		
Investments		
Investments at fair value	$ 7,341,853	$ 6,965,487
Receivables		
Notes receivable from participants	131,914	133,288
Employer's contributions	3,474	3,255
Total receivables	135,388	136,543
Net assets available for benefits	$ 7,477,241	$ 7,102,030

See Notes to Financial Statements

DUKE ENERGY
RETIREMENT SAVINGS PLAN
Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2016

(IN THOUSANDS)

Additions to net assets attributed to:		
Investment income		
Net appreciation in fair value of investments	$	594,853
Interest and dividends		77,611
Net investment income		672,464
Interest income on notes receivable from participants		5,382
Contributions		
Participants		257,152
Employer		166,948
Participants' rollover		15,887
Total contributions		439,987
Total additions		1,117,833
Deductions from net assets attributed to:		
Benefits paid to participants		(736,452)
Administrative Fees		(6,170)
Total deductions		(742,622)
Net increase		375,211
Net assets available for benefits, beginning of year		7,102,030
Net assets available for benefits, end of year	$	7,477,241

See Notes to Financial Statements

1. Description of the Plan

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

Participation and Purpose

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

The purpose of the Plan is to provide an opportunity for eligible employees to enhance their long-range financial security through employee contributions, matching contributions from Participating Companies, and investment among certain investment funds, one of which provides indirect ownership in Duke Energy common stock. The Plan is, in part, an employee stock ownership plan and is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974, as amended (ERISA). Participating companies also make employer retirement contributions of 4 percent of eligible compensation for certain employees who are not eligible to participate in a defined benefit plan.

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

Contributions

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

Participants may elect to contribute (subject to certain limitations) in the form of pre-tax deferrals, Roth 401(k) contributions, and/or after-tax contributions up to 75 percent of eligible earnings per pay period without regard to years of service. Various provisions of the Internal Revenue Code of 1986, as amended (IRC) may limit the deferrals of some highly compensated employees. All deferrals are exempt, up to the allowed maximum, from federal and most state income tax withholding in the year they are deferred, but are subject to payroll taxes. Participant deferrals are intended to satisfy the requirements of Section 401(k) of the IRC.

Duke Energy generally matches 100 percent of the first 6 percent of pre-tax and/or Roth 401(k) contributions from the employee's eligible compensation. A different matching contribution formula may apply to certain groups of employees covered by a collective bargaining agreement. Participant after-tax contributions and matching contributions are intended to satisfy the requirements of Section 401(m) of the IRC. Participating companies also provide a non-elective company retirement contribution of 4 percent of eligible compensation for employees who are not eligible to participate in a defined benefit plan.

Participants age 50 or older by the end of the year may contribute an additional pre-tax and/or Roth 401(k) contribution amount over and above the IRC limits each year. For 2016, the IRC allowed participants age 50 or older to contribute up to $6,000 over and above the $18,000 pre-tax and/or Roth 401(k) contribution limit. Participating companies do not provide a base company match on these additional contributions.

Rollover Contributions to the Plan

Rollover contributions represent amounts recorded when participants elect to contribute amounts to their Plan accounts from other eligible, tax-qualified retirement plans or qualified individual retirement accounts. Rollover contributions of approximately $15.9 million were made to the Plan in 2016.

Investments

Participants may invest their Plan accounts in any or all of the core investment funds offered in the Plan, which include stock, bond, specialty, short-term and target retirement date funds, as well as the Duke Energy Common Stock Fund. The value of an account is updated each business day. As of December 31, 2016, 20 funds were offered for investment.

The Plan offers a brokerage option, BrokerageLink, whereby participants can elect to invest up to 90 percent of their Plan accounts in numerous publicly traded securities (excluding Duke Energy securities) and mutual funds not offered directly by the Plan.

The Plan also offers an investment advisory service (Professional Management) program through the independent investment advice and management services provider, Financial Engines Advisors, LLC. Participants in the Professional Management program are charged an annual fee of 0.50 percent on their average account balance. Participants may cancel their participation in the Professional Management program at any time without penalty. Online advice is also available at no additional cost to the participant.

Participant Accounts

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

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

Vesting and Distribution

A participant is 100 percent vested in their Plan account balance attributable to employee and company matching contributions (and earnings on those contributions). Employer retirement contributions and associated investment earnings are subject to a three-year vesting requirement and also vest, if while employed the employee dies, becomes disabled or attains age 65. The Plan provides for several different types of in-service withdrawals, including hardship and age 59 1/2 withdrawals, and withdrawals of rollover and after-tax accounts at any time. A hardship distribution must comply with Section 401(k) of the IRC.

Forfeitures

Generally, upon distribution of vested balances following termination of employment, participants' nonvested balances are forfeited. Such forfeitures can be applied to reduce employer contributions or Plan administrative expenses. At December 31, 2016 and 2015, forfeitures of $576,377 and $224,010, respectively, were included in Plan assets. There were no forfeited non vested participant balances applied to reduce employer contributions in 2016. Forfeited non vested participant balances of $167,185 were used to reduce Plan administrative expense in 2016. Forfeited non vested participant balances of $194,105 were used to pay unrelated business income tax in 2016.

Payment of Benefits

Upon termination of employment, including retirement, death or disability, a participant or, if the participant is deceased, his or her beneficiary, may request the distribution of all or a portion of the balance of the participant's Plan account. Distributions may be made as soon as practicable after the occasion for the distribution, or generally may be delayed until no later than April 1 of the calendar year following the calendar year in which the participant attains age 70 ½. A beneficiary of a deceased participant may elect that a distribution be delayed for up to five years following the date of death. Distributions are paid as soon as practicable in a lump sum for vested benefits of $1,000 or less.

Notes Receivable From Participants

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

Plan Termination

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

2. Summary of Significant Accounting Policies

Basis of Accounting

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

Use of Estimates

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

Investment Valuation and Income Recognition

Investments are reported at fair value . Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 7 for discussion of fair value measurements.

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

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

Notes Receivable From Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. No allowance for credit losses has been recorded as of December 31, 2016 and 2015. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Payment of Benefits

Benefits paid to participants are recorded when paid.

Administrative Expenses

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

3. Exempt Party-in-Interest Transactions

Fidelity is the Trustee for all Plan investments, as defined by the Plan. Fidelity invests a significant portion of the Duke Energy Common Stock Fund in shares of Duke Energy Common Stock, which qualifies these transactions as PII. BrokerageLink is managed by Fidelity which qualifies them as a PII.

4. Federal Income Tax Status

The Internal Revenue Service (IRS) has determined and informed Duke Energy by a letter dated March 16, 2015, that the Plan is qualified and the related trust is exempt from federal income tax under the provisions of Section 501(a) of the Internal Revenue Code (IRC) of 1986. The Plan is intended to be tax-qualified under Section 401(a) of the IRC of 1986, as amended. The Plan has been amended since receiving the determination letter. However, the Plan administrator and the Plan's legal counsel believe the Plan is currently designed and being operated in compliance with the applicable requirements of the IRC and the Plan and the related trust continue to be tax exempt. Therefore, no provision for income taxes has been included in the Plan's financial statements.

US GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. There are no uncertain tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is not currently under audit by any taxing jurisdictions. Plan management believes it is no longer subject to income tax examination for years prior to 2013**.**

5. Investment Risk

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

The Plan has invested a significant portion of its assets in the Duke Energy Common Stock Fund. This investment in the Duke Energy Common Stock Fund approximates 24 percent and 26 percent of the Plan's net assets available for benefits as of December 31, 2016 and 2015, respectively. As a result of this concentration, any significant fluctuation in the market value of the Duke Energy Common Stock Fund could affect individual participant accounts and the net assets of the Plan.

6. Fair Value Measurements

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

The amended guidance of FASB Accounting Standards Update (ASU) 2015-07, *Fair Value Measurement (Topic 820): Disclosures for Investments in Certain Entities That Calculate Net Asset Value per Share (or Its Equivalent)* and ASU 2015-12, *Plan Accounting: Defined Benefit Pension Plans (Topic 960), Defined Contribution Pension Plans (Topic 962), Health and Welfare Benefit Plans (Topic 965): (Part I) Fully Benefit-Responsive Investment Contracts, (Part II) Plan Investment Disclosures, (Part III) Measurement Date Practical Expedient*, have been early-adopted by Plan management.

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

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

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

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

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2016 (in thousands):

	2016	
Description	**Total Level 1**	**Total**
BrokerageLink	$ 566,835	$ 566,835
Investments measured at net asset value:		
Duke Energy common stock fund		1,798,526
Institutional funds		4,364,474
Stable value fund - collective investment trusts		612,018
Total investments at fair value		$ 7,341,853

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2015 (in thousands):

	2015	
Description	**Total Level 1**	**Total**
BrokerageLink	$ 518,289	$ 518,289
Investments measured at net asset value:		
Duke Energy common stock fund		1,810,439
Institutional funds		4,064,593
Stable value fund - collective investment trusts		572,166
Total investments at fair value		$ 6,965,487

Valuation methods of the primary fair value measurements disclosed above are as follows. There have been no changes in the methodologies used at December 31, 2016 or 2015.

Common stock/Corporate debt/US Government securities: Valued at the closing price in the principal active market on which the securities are traded. Principal active markets include published exchanges such as NASDAQ, NYSE, NYMEX and Chicago Board of Trade, as well as pink sheets, which is an electronic quotation system that displays quotes for broker-dealers for many over-the-counter securities. The Plans' investments in common stock, corporate debt and US Government securities within the BrokerageLink account are valued using Level 1 measurements.

The Common Stock fund is comprised of common stock and a short-term cash component. The value of a unit reflects the combined market value of the underlying stock and market value of the short-term cash position. The market value of the common stock portion of the fund is based on the closing market price of the common stock on the New York Stock Exchange times the number of shares held in the fund. Investments in common collective investment trust funds are stated at fair values, which have been determined based on the net asset value of the funds. Net asset values are determined by the organization sponsoring such funds by dividing the fund's net assets at fair value by its units outstanding at each valuation date.

Mutual funds: Valued at the net asset value of shares held by the Plan at year end. The Plans' investments in mutual funds within the BrokerageLink account are valued using Level 1 measurements.

Institutional funds: The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Stable Value Fund: Valued at the net asset value of shares held by the Plan at year end. Per FASB guidance on indirect investments in Fully Benefit Responsive Investment Contracts (ASU 2015-07 and 2015-12), net asset value can be used as a practical expedient to approximate fair value. Investments in units of underlying funds are valued at their respective net asset values. Deposits to and withdrawals from the Stable Value Fund may be made daily at the current net asset value per unit. There are currently no redemption restrictions or redemption notice period, however, the Plan does not allow for direct exchanges from the Stable Value Fund to the BrokerageLink account. Exchanges from the Stable Value Fund must be made first with another Plan fund and held by that Plan fund for at least 90 days before an exchange can occur with the BrokerageLink account. In the 2015 financial statements, the Stable Value Fund was shown as a FBRIC. This fund is now shown at its asset value, which represents its fair value, on the face of the financial statements. There was no impact to the actual value of the fund.

The availability of observable market data is monitored to assess the appropriate classification of the Plan's investments within the fair value hierarchy. Changes in economic conditions or valuation techniques may require the transfer of investments from one fair value level to another. Transfers between levels are evaluated for their significance based upon the nature of the investments and size of the transfer relative to the net assets available for benefits.

7. Plan Changes

Effective as of October 3, 2016, the Plan was amended to exclude certain Piedmont Company employees from participation and credit certain service with a Piedmont company under the Plan.

Effective as of January 1, 2016, the Plan was amended to add partial distributions as a form of payment for beneficiaries, reflect bargaining agreement changes for USW Locals 5541-06 and 12049, and clarify certain other provisions.

Effective as of January 1, 2015, the Plan was amended to update the list of affiliated sponsors and for a technical change as requested by the IRS for purposes of receiving a favorable determination letter.

Effective as of January 1, 2015, the Plan was amended to limit contributions where the participant lacks effectively available earnings and to reflect collectively bargained changes for IBEW Local 1393 and UWUA 600 and other clarifications.

Effective as of May 4, 2015, the Plan was amended to add a special direct rollover opportunity for Dynegy employees

8. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of the net assets available for benefits per the Plan financial statements to Form 5500 as of December 31, 2016 and 2015 (in thousands):

	December 31,	
	2016	2015
Net assets available for benefits per the financial statements	$ 7,477,241	$ 7,102,030
Adjustments from contract value to fair value for fully benefit-responsive contracts	—	3,071
Net assets per Form 5500	$ 7,477,241	$ 7,105,101

The following is a reconciliation of the Plan's change in net assets available for benefits per the Plan financial statements for Form 5500 for the year ended December 31, 2016 (in thousands):

Increase in net assets available for benefits per financial statements	$ 375,211
Change in adjustment from contract value to fair value for fully benefit-responsive investment contracts	(3,071)
Net income per Form 5500	$ 372,140

Supplementary Information

DUKE ENERGY RETIREMENT SAVINGS PLAN
EIN: 20-2777218 PN: 002
Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)
December 31, 2016

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Market Value (in thousands)
*	Duke Energy Common Stock Fund	Common Stock	**	$ 1,798,526
*	US Equity Small/Midcap Blend Fund	Institutional Fund	**	536,255
*	US Equity All Cap Blend Fund	Institutional Fund	**	346,775
*	Non-US Equity Blend Fund	Institutional Fund	**	516,615
*	Fixed Income Blend Fund	Institutional Fund	**	378,328
*	US Equity S&P 500 Index Fund	Commingled Fund	**	1,429,397
*	Target Retirement Date Fund 2010	Institutional Fund	**	21,802
*	Target Retirement Date Fund 2015	Institutional Fund	**	76,904
*	Target Retirement Date Fund 2020	Institutional Fund	**	208,061
*	Target Retirement Date Fund 2025	Institutional Fund	**	223,215
*	Target Retirement Date Fund 2030	Institutional Fund	**	173,260
*	Target Retirement Date Fund 2035	Institutional Fund	**	93,799
*	Target Retirement Date Fund 2040	Institutional Fund	**	89,157
*	Target Retirement Date Fund 2045	Institutional Fund	**	94,900
*	Target Retirement Date Fund 2050	Institutional Fund	**	59,609
*	Target Retirement Date Fund 2055	Institutional Fund	**	35,935
*	Target Retirement Date Fund Post Retirement	Institutional Fund	**	36,737
*	Diversified Real Asset Fund	Commingled Fund	**	7,721
*	Fidelity BrokerageLink	Self-directed brokerage account	**	566,835
	Stable Value Fund	Common Collective Trust Fund	**	612,018
*	Global Real Estate Investment Trust Fund	Commingled Fund	**	36,004
	Total Investments			$ 7,341,853
*	Participant Loans	Participant Loans Interest Rates ranging from 3.25% - 9.25%	– 0 –	131,914
	Total			$ 7,473,767

* Permitted party-in-interest

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

Schedule C Line 3(e) Attachment

Name of Plan: Duke Energy Retirement Savings Plan **Year End: 12/31/2016**

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

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	Stat	Zip
001413541	Invesco	60	0.40%	INVESCO DIVERSIFIED DIVIDEND CLASS A	11 Greenway Plaza; Suite 100	Houston	TX	77046
00141A867	Invesco	60	0.40%	INVESCO FLOATING RATE FUND CLASS A	11 Greenway Plaza; Suite 100	Houston	TX	77046
00141V721	Invesco	60	0.10%	INVESCO BALANCED - RISK ALLOCATION CL C	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142F105	Invesco	60	0.40%	INVESCO ENERGY INVESTOR CLASS	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142F535	Invesco	60	0.40%	INVESCO DIVIDEND INCOME FUND A	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142F865	Invesco	60	0.40%	INVESCO GOLD & PRECIOUS METALS INV	11 Greenway Plaza; Suite 100	Houston	TX	77046
00142J578	Invesco	60	0.40%	INVESCO AMERICAN FRANCHISE FUND CL A	11 Greenway Plaza; Suite 100	Houston	TX	77046
00170J730	Managers Funds	60	0.06%	AMG GW&K CORE BOND FUND CLASS I	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170J748	Managers Funds	60	0.40%	AMG MANAGERS CENTER SQUARE REAL ESTATE S	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170K208	Managers Funds	60	0.40%	AMG MANAGERS SKYLINESPECIAL EQUITIES S	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170K554	Managers Funds	60	0.40%	AMG SOUTHERNSUN SMALL-CAP N	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170K570	Managers Funds	60	0.40%	AMG YACKTMAN FOCUSED S	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170K588	Managers Funds	60	0.40%	AMG YACKTMAN FUND I	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170L602	Managers Funds	60	0.40%	AMG MANAGERS CADENCEMID CAP N	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170L842	Managers Funds	60	0.40%	AMG MANAGERS LOOMIS SAYLES BOND FUND S	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170L867	Managers Funds	60	0.40%	AMG MANAGERS SPECIALEQUITY S	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170M303	Managers Funds	60	0.40%	AMG CHICAGO EQ PARTNERS BLANCD CL N	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00170M865	Managers Funds	60	0.35%	AMG MANAGERS AMUNDI SHORT DURATION GOV S	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00171A647	Managers Funds	60	0.40%	AMG MANAGERS LMCG SMCAP GROWTH CLASS N	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00171A738	Managers Funds	60	0.40%	AMG MANAGERS FAIR POINTE MID CAP CL N	600 Steamboat Road, Suite 300	GREENWICH	CT	06830
00203H412	AQR Funds	60	0.40%	AQR STYLE PREMIA ALTERNATIVE CL N	1 Greenwich Plaza	GREENWICH	CT	06830
00203H420	AQR Funds	60	0.10%	AQR STYLE PREMIA ALTERNATIVE CL I	1 Greenwich Plaza	GREENWICH	CT	06830
00203H719	AQR Funds	60	0.10%	AQR LARGE CAP DEFENSIVE STYLE FD I	1 Greenwich Plaza	GREENWICH	CT	06830
00203H750	AQR Funds	60	0.40%	AQR LARGE CAP DEFENSIVE STYLE CL N	1 Greenwich Plaza	GREENWICH	CT	06830
00203H842	AQR Funds	60	0.40%	AQR MANAGED FUTURES FUND CL N	1 Greenwich Plaza	GREENWICH	CT	06830
00688P103	Adirondack Funds	60	0.40%	ADIRONDACK SMALL CAP FUND	2390 Western Avenue	GUILDERLAND	NY	12084
007565104	Dreyfus Group	60	0.40%	DREYFUS DYNAMIC TOTAL RETURN FD CL A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
00758M162	Acadian Funds	60	0.40%	ACADIAN EMERGING MARKETS PORT INVSTR	1 Freedom Valley Drive	OAKS	PA	19456
00758M261	Cambiar Funds	60	0.40%	CAMBIAR OPPORTUNITY INVESTOR CL	1 Freedom Valley Drive	OAKS	PA	19456
0075W0650	Cambiar Funds	60	0.40%	CAMBIAR AGGRESSIVE VALUE - INVESTOR	1 Freedom Valley Drive	OAKS	PA	19456
00764Q744	Champlain Funds	60	0.40%	CHAMPLAIN MID CAP ADVISOR SHARE	One Freedom Valley Drive	OAKS	PA	19456
00766Y679	Frost Funds	60	0.40%	FROST TOTAL RETURN BOND INVESTOR	P.O. Box 2509	SAN ANTONIO	TX	78299-2509
00768D335	Kellner Funds	60	0.10%	KELLNER MERGER FUND INSTL CLASS	615 East Michigan Avenue	Milwaukee	WI	53202
00770G839	JOHCM Funds	60	0.40%	JOHCM INTERNATIONAL SELECT FD CL II	14 Ryder Street, Ryder Court, Ground Floor	London	GB	SW1Y 6QB
01853W105	Alliance Capital Funds	60	0.40%	AB GLOBAL BOND CLASS A	8000 IH 10 West; Suite 1400;	SAN ANTONIO	TX	78230
01859M101	Alliance Capital Funds	60	0.10%	AB HIGH INCOME CLASS A	8000 IH 10 West; Suite 1400;	SAN ANTONIO	TX	78230
01877C101	Alliance Capital Funds	60	0.40%	AB LARGE CAP GROWTH CLASS A	8000 IH 10 West; Suite 1400;	SAN ANTONIO	TX	78230
018866103	Iman Fund	60	0.40%	IMAN FUND RETAIL SHARES	721 Enterprise Drive	Oakbrook	IL	60523
018914101	Alliance Capital Funds	60	0.10%	AB DISCOVERY VALUE CLASS A	8000 IH 10 West; Suite 1400;	SAN ANTONIO	TX	78230
018918243	Allianz Funds	60	0.40%	ALLIANZGI NFJ DIVIDEND VALUE CL A	1633 Broadway	NEW YORK	NY	10019
018918458	Allianz Funds	60	0.40%	ALLIANZGI NFJ LARGE CAP VALUE CL A	1633 Broadway	NEW YORK	NY	10019
018919704	Allianz Funds	60	0.40%	ALLIANZGI MID CAP CL A	1633 Broadway	NEW YORK	NY	10019
018920629	Allianz Funds	60	0.40%	ALLIANZGI EMERGING MKTS OPP CL A	1633 Broadway	NEW YORK	NY	10019
018920702	Allianz Funds	60	0.40%	ALLIANZGI NFJ INT'L VALUE CL A	1633 Broadway	NEW YORK	NY	10019
01900A106	Allianz Funds	60	0.40%	ALLIANZGI GLBL WATER CL A	1633 Broadway	NEW YORK	NY	10019
020875209	Alpine Funds	60	0.35%	ALPINE DYNAMIC DIVID FUND	2500 Westchester Avenue Suite 215	PURCHASE	NY	10577
020940409	Alpine Funds	60	0.35%	ALPINE INTERNATIONALREAL ESTATE EQUITY I	2500 Westchester Avenue Suite 215	PURCHASE	NY	10577

020940748	Alpine Funds	60	0.05%	ALPINE GLOBAL INFRASTRUCTURE CL A	2500 Westchester Avenue Suite 215	PURCHASE	NY	10577
020940862	Alpine Funds	60	0.35%	ALPINE REALTY INCOME& GROWTH INSTL	2500 Westchester Avenue Suite 215	PURCHASE	NY	10577
022865109	Amana Mutual Funds	60	0.40%	AMANA MUTUAL FUND TRUST INCOME	1300 North State Street	BELLINGHAM	WA	98225
022865208	Amana Mutual Funds	60	0.40%	AMANA MUTUAL FUND TRUST GROWTH	1300 North State Street	BELLINGHAM	WA	98225
022865307	Amana Mutual Funds	60	0.40%	AMANA DEVELOPING WORLD FUND	1300 North State Street	BELLINGHAM	WA	98225
02368A620	American Beacon Funds	60	0.40%	AMERICAN BEACON SMALL CAP INVESTOR	220 East Las Colinas Blvd, Suite 1200	IRVING	TX	75039
02368A794	American Beacon Funds	60	0.40%	AMERICAN BEACON INTL EQUITY INVESTOR	220 East Las Colinas Blvd, Suite 1200	IRVING	TX	75039
02368A810	American Beacon Funds	60	0.40%	AMERICAN BEACON LARGE CAP INVESTOR	220 East Las Colinas Blvd, Suite 1200	IRVING	TX	75039
02368A828	American Beacon Funds	60	0.40%	AMERICAN BEACON BALANCED INVST	220 East Las Colinas Blvd, Suite 1200	IRVING	TX	75039
024071409	American Class F	60	0.37%	AMERICAN BALANCED CLASS F1	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
024524118	American Beacon Funds	60	0.40%	AMER BEACON BRDGWAY LARGE CAP VAL INVST	220 East Las Colinas Blvd, Suite 1200	IRVING	TX	75039
024932774	American Century Investments	60	0.25%	AMERICAN CEN SHT DURINFL PROTECTN BD INV	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025076100	American Century Investments	60	0.35%	AMERICAN CENTURY EQUITY INCOME INV CL	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025076654	American Century Investments	60	0.35%	AMERICAN CENTURY MIDCAP VALUE INV SHS	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025076795	American Century Investments	60	0.35%	AMERICAN CENTURY LARGE COMPANY INV	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025076886	American Century Investments	60	0.35%	AMERICAN CENTURY REAL ESTATE INV CL	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
02507F738	American Century Investments	60	0.35%	AMERICAN CENTURY ONECHOICE MOD INV CL	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
02507M881	American Century Investments	60	0.35%	AMERICAN CENTURY UTILITIES INVESTOR	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025081704	American Century Investments	60	0.25%	AMERICAN CENTURY INFLN ADJ BOND INV	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025083791	American Century Investments	60	0.35%	AMERICAN CENTURY HERITAGE INVESTOR CL	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025086844	American Century Investments	60	0.35%	AMERICAN CENTURY GLOBAL GROWTH INVEST	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
025086885	American Century Investments	60	0.35%	AMERICAN CENTURY EMERGING MARKETS INV	4400 Main St - 1st Floor	KANSAS CITY	MO	64111
02630R203	American Funds Group	60	$18.00	AMERICAN FUNDS GRWTH& INCOME PORT CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
027681105	American Funds Group	60	$18.00	AMERICAN MUTUAL FUNDCLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
027681402	American Class F	60	0.37%	AMERICAN MUTUAL FUNDCLASS F1	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
03463K307	Angel Oak Funds	60	0.40%	ANGEL OAK MULTI STRATEGY INCOME CL A	400 City Center (MK-WI-CCCL)	OSHKOSH	WI	54901
039491105	Archer Funds	60	0.08%	ARCHER INCOME FUND	9000 Keystone Crossing #630	Indianapolis	IN	46240
039491303	Archer Funds	60	0.08%	ARCHER DIVIDEND GROWTH FUND	9000 Keystone Crossing #630	Indianapolis	IN	46240
03951C106	Archer Funds	60	0.08%	ARCHER BALANCED	9000 Keystone Crossing #630	Indianapolis	IN	46240
040337107	Ariel Mutual Funds	60	0.40%	ARIEL FUND	811 E. Wisconsin Avenue. MK-WI-J8NF	Milwaukee	WI	53202
042765503	Arrow	60	0.10%	ARROW DWA BALANCED FUND CLASS C	6100 Chevy Chase Dr, Ste 100	Laurel	MD	20707
04314H204	Artisan Funds	60	0.40%	ARTISAN INTERNATL INVESTOR CLASS	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H626	Artisan Funds	60	0.40%	ARTISAN DEVELOPING WORLD FD INVESTOR CL	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H816	Artisan Funds	60	0.40%	ARTISAN GLOBAL EQUITY FUND INVESTOR	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H824	Artisan Funds	60	0.40%	ARTISAN GLOBAL OPPORTUNITIES INV	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H873	Artisan Funds	60	0.40%	ARTISAN VALUE FUND INVESTOR CL	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04314H881	Artisan Funds	60	0.38%	ARTISAN INTL VALUE FUND INV CL	875 East Wisconsin Avenue Suite 800	Milwaukee	WI	53202
04315J878	Aberdeen Funds	60	0.40%	ABERDEEN GLOBAL HIGHINCOME FUND CL A	1735 Market Street, 32nd Floor	PHILADELPHIA	PA	19103
05528X604	BBH Funds	60	0.40%	BBH CORE SELECT FUND CL N	140 Broadway	NEW YORK	NY	10005
057071862	Baird	60	0.28%	BAIRD AGGREGATE BONDFUND INVESTOR CL	777 E. Wisconsin Ave, 18th Fl	Milwaukee	WI	53202
057071888	Baird	60	0.28%	BAIRD CORE PLUS BOND FD INVESTOR CL	777 E. Wisconsin Ave, 18th Fl	Milwaukee	WI	53202
068278209	Baron Asset Funds	60	0.40%	BARON GROWTH	767 5th Avenue 49th Floor	NEW YORK	NY	10153
068278308	Baron Asset Funds	60	0.40%	BARON SMALL CAP FD	767 5th Avenue 49th Floor	NEW YORK	NY	10153
068278860	Baron Asset Funds	60	0.40%	BARON DISCOVERY FUNDRETAIL SHARES	767 5th Avenue 49th Floor	NEW YORK	NY	10153
06828M702	Baron Asset Funds	60	0.40%	BARON REAL ESTATE FUND RETAIL	767 5th Avenue 49th Floor	NEW YORK	NY	10153
06828M868	Baron Asset Funds	60	0.40%	BARON ENERGY AND RESOURCES FD RETAIL	767 5th Avenue 49th Floor	NEW YORK	NY	10153
06828M884	Baron Asset Funds	60	0.40%	BARON EMERGING MARKETS FUND RETAIL	767 5th Avenue 49th Floor	NEW YORK	NY	10153
084649102	Berkshire Funds	60	0.40%	BERKSHIRE FOCUS FUND	475 Milan Drive Suite 103	SAN JOSE	CA	95134
091929307	Blackrock Funds	60	0.40%	BLACKROCK INTERNAT'L OPPORT CLASS A	40 East 52nd Street	NEW YORK	NY	10022
091929679	Blackrock Funds	60	0.40%	BLACKROCK HIGH YIELDBOND CLASS A	40 East 52nd Street	NEW YORK	NY	10022
091936682	Blackrock Funds	60	0.40%	BLACKROCK COMMODITY STRATEGIES FUND CL A	40 East 52nd Street	NEW YORK	NY	10022

091937573	Blackrock Funds	60	0.40%	BLACKROCK HEALTH SCIENCES OPP PRT A	40 East 52nd Street	NEW YORK	NY	10022
091937722	Blackrock Funds	60	0.40%	BLACKROCK INFLATION PRO BOND PORT INV A	40 East 52nd Street	NEW YORK	NY	10022
09251M108	Blackrock Funds	60	0.40%	BLACKROCK EQUITY DIVIDEND FD CL A	40 East 52nd Street	NEW YORK	NY	10022
09251M504	Blackrock Funds	60	0.08%	BLACKROCK EQUITY DIVIDEND FD-INSTL	40 East 52nd Street	NEW YORK	NY	10022
09251R107	Blackrock Funds	60	0.40%	BLACKROCK CAPITAL APPRECIATION INVT A	40 East 52nd Street	NEW YORK	NY	10022
09251T103	Blackrock Funds	60	0.40%	BLACKROCK GLOBAL ALLOCATION CL A	40 East 52nd Street	NEW YORK	NY	10022
09251T301	Blackrock Funds	60	0.08%	BLACKROCK GLOBAL ALLOCATION FD CL C	40 East 52nd Street	NEW YORK	NY	10022
09251T400	Blackrock Funds	60	0.08%	BLACKROCK GLOBAL ALLOCATION FUND CL R	40 East 52nd Street	NEW YORK	NY	10022
09252H108	Blackrock Funds	60	0.40%	BLACKROCK NATURAL RESOURCES TR CL A	40 East 52nd Street	NEW YORK	NY	10022
09252M107	Blackrock Funds	60	0.40%	BLACKROCK TOTAL RETURN FUND CL A	40 East 52nd Street	NEW YORK	NY	10022
09256H211	Blackrock Funds	60	0.40%	BLACKROCK FLOATING RATE INC PORT INVT A	40 East 52nd Street	NEW YORK	NY	10022
09256H245	Blackrock Funds	60	0.40%	BLACKROCK CREDIT STRATEGIES INCM CL A	40 East 52nd Street	NEW YORK	NY	10022
09256H344	Blackrock Funds	60	0.08%	BLACKROCK MULTI - ASSET INCOME FUND C	40 East 52nd Street	NEW YORK	NY	10022
09256H351	Blackrock Funds	60	0.40%	BLACKROCK MULTI ASSET INCOME PORT A	40 East 52nd Street	NEW YORK	NY	10022
093001147	William Blair Mutual Funds	60	0.40%	WILLIAM BLAIR MID CAP GRWTH FD CL N	222 West Adams Street, 12th floor	CHICAGO	IL	60606
093001204	William Blair Mutual Funds	60	0.35%	WILLIAM BLAIR INCOMECLASS N	222 West Adams Street, 12th floor	CHICAGO	IL	60606
09658L810	Marshall Funds	60	0.40%	BMO MORTGAGE INCOME CL Y	111 East Kilbourn Avenue, Suite 200	Milwaukee	WI	53202
09658W105	Marshall Funds	60	0.40%	BMO LOW VOLATILITY EQUITY CL A	111 East Kilbourn Avenue, Suite 200	Milwaukee	WI	53202
104826201	Queens Road	60	0.40%	QUEENS ROAD SMALL CAP VALUE FUND	1031 South Caldwell St Suite 200	CHARLOTTE	NC	28203
105262729	Brandes Institutional Funds	60	0.40%	BRANDES INTERNATIONLSMALL CAP EQUITY A	11988 El Camino Ralo Ste 500	SAN DIEGO	CA	92130
105262752	Brandes Institutional Funds	60	0.12%	BRANDES EMERGING MARKETS VALUE CL I	11988 El Camino Ralo Ste 500	SAN DIEGO	CA	92130
115233405	Brown IA Funds	60	0.40%	BROWN ADVISORY SUSTAIN GROWTH ADV	777 E. Wisconsin Ave, 4th Floor	Milwaukee	WI	53202
115233785	Brown IA Funds	60	0.40%	BROWN ADVISORY SMALLCAP FUNDMNTL VAL ADV	777 E. Wisconsin Ave, 4th Floor	Milwaukee	WI	53202
115233827	Brown IA Funds	60	0.40%	BROWN ADVISORY SMALLCAP GROWTH ADVISOR	777 E. Wisconsin Ave, 4th Floor	Milwaukee	WI	53202
119428100	Buffalo Funds	60	0.40%	BUFFALO FLEXIBLE INCOME FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530103	Buffalo Funds	60	0.40%	BUFFALO DISCOVERY FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530301	Buffalo Funds	60	0.40%	BUFFALO EMERGING OPPORTUNITIES FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530509	Buffalo Funds	60	0.40%	BUFFALO INTERNATIONAL FUND	615 E. Michigan Street	Milwaukee	WI	53202
119530608	Buffalo Funds	60	0.40%	BUFFALO DIVIDEND FOCUS FUND	615 E. Michigan Street	Milwaukee	WI	53202
119826105	Buffalo Funds	60	0.40%	BUFFALO GROWTH FUND	615 E. Michigan Street	Milwaukee	WI	53202
128119203	Calamos Family of Mutual Funds	60	0.40%	CALAMOS MARKET NEUTRAL INCOME CL A	2020 Calamos Court	Naperville	IL	60563
128119302	Calamos Family of Mutual Funds	60	0.40%	CALAMOS GROWTH CLASSA	2020 Calamos Court	Naperville	IL	60563
128119575	Calamos Family of Mutual Funds	60	0.40%	CALAMOS INTL GROWTH FUND CLASS A	2020 Calamos Court	Naperville	IL	60563
140193103	American Funds Group	60	$18.00	AMERICAN CAPITAL INCOME BUILDER CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
140541103	American Funds Group	60	$18.00	AMERICAN CAPITAL WORLD BOND CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
140543109	American Funds Group	60	$18.00	AMERICAN CAPITAL WORLD GRTH & INC A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
140543406	American Class F	60	0.37%	AMERICAN CAPITAL WORLD GRWTH & INC F1	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
192476109	Cohen & Steers Funds	60	0.40%	COHEN & STEERS REALTY SHARES	280 Park Avenue, 10th Floor	NEW YORK	NY	10017
19248X109	Cohen & Steers Funds	60	0.40%	COHEN & STEERS PREF SECURITIES INC A	280 Park Avenue, 10th Floor	NEW YORK	NY	10017
19765N492	Columbia Funds	60	0.40%	COLUMBIA TOTAL RETURN BOND CL A	225 Franklin St, BX25 10320	BOSTON	MA	02110
19765P406	Columbia Funds	60	0.40%	COLUMBIA CONTRARIAN CORE FUND CL Z	225 Franklin St, BX25 10320	BOSTON	MA	02110
19765Y712	Columbia Funds	60	0.40%	COLUMBIA SELECT LRG CAP GROWTH CLASS A	225 Franklin St, BX25 10320	BOSTON	MA	02110
19766F167	Columbia Funds	60	0.40%	COLUMBIA INCOME BUILDER FUND CL A	225 Franklin St, BX25 10320	BOSTON	MA	02110
19766J102	Columbia Funds	60	0.40%	COLUMBIA U.S GOVT MORTGAGE CL A	225 Franklin St, BX25 10320	BOSTON	MA	02110
200626828	Commerce Funds	60	0.35%	COMMERCE VALUE INSTITUTIONAL	922 Walnut St 4th Floor	KANSAS CITY	MO	64106
22540S760	Credit Suisse W.P. Funds	60	0.40%	CREDIT SUISSE STRATEGIC INCOME A	One Madison Avenue, 10th Floor	NEW YORK	NY	10010
227061108	Croft Funds	60	0.40%	CROFT VALUE FUND	300 Water Street	BALTIMORE	MD	21202
239080104	Davis Funds	60	0.40%	DAVIS NEW YORK VENTURE CLASS A	2949 East Elvira Road Suite 101	TUCSON	AZ	85756
239080872	Davis Funds	60	0.40%	DAVIS GLOBAL FUND CL A	2949 East Elvira Road Suite 101	TUCSON	AZ	85756
245914676	Delaware Group	60	0.10%	DELAWARE GLOBAL VALUE FUND INSTL CL	2005 Market Street	PHILADELPHIA	PA	19103
245914684	Delaware Group	60	0.10%	DELAWARE GLOBAL VALUE FUND CL C	2005 Market Street	PHILADELPHIA	PA	19103

245914817	Delaware Group	60	0.10%	DELAWARE EMERGING MKTS FD-INSTITUT CL	2005 Market Street	PHILADELPHIA	PA	19103
245914825	Delaware Group	60	0.10%	DELAWARE EMERGING MARKETS CLASS C	2005 Market Street	PHILADELPHIA	PA	19103
245914841	Delaware Group	60	0.10%	DELAWARE EMERGING MARKETS CLASS A	2005 Market Street	PHILADELPHIA	PA	19103
246097109	Delaware Group	60	0.10%	DELAWARE SMALL CAP VALUE CLASS A	2005 Market Street	PHILADELPHIA	PA	19103
24610C881	Delaware Group	60	0.40%	DELAWARE VALUE FD CL A	2005 Market Street	PHILADELPHIA	PA	19103
246248744	Delaware Group	60	0.10%	DELAWARE DIVERSIFIED INCOME FD CL A	2005 Market Street	PHILADELPHIA	PA	19103
25156A874	DWS Investments	60	0.40%	DEUTSCHE GLOBAL INFRASTRUCTURE FD-A	280 Park Ave, Finance-PCAM Ctrl, 9th flr	NEW YORK	NY	10026
25159G811	DWS Investments	60	0.40%	DEUTSCHE CROCI EQUITY DIVIDEND A	280 Park Ave, Finance-PCAM Ctrl, 9th flr	NEW YORK	NY	10026
25159L877	DWS Investments	60	0.40%	DEUTSCHE ENHANCED COMMODITY STRATEGY A	280 Park Ave, Finance-PCAM Ctrl, 9th flr	NEW YORK	NY	10026
25264S502	Diamond Hill Funds	60	0.40%	DIAMOND HILL LARGE CAP CLASS A	325 John H. McConnell Blvd., Suite 200	COLUMBUS	OH	43215
258620103	Doubleline	60	0.05%	DOUBLELINE TOTAL RETURN BOND FD CL I	777 East Wisconsin Avenue	Milwaukee	WI	53202
258620202	Doubleline	60	0.40%	DOUBLELINE TOTAL RT BOND FD CL N	777 East Wisconsin Avenue	Milwaukee	WI	53202
258620509	Doubleline	60	0.05%	DOUBLELINE EMERGING MRTKS FIXED INC I	777 East Wisconsin Avenue	Milwaukee	WI	53202
258620855	Doubleline	60	0.40%	DOUBLELINE LOW DURATION CL N	777 East Wisconsin Avenue	Milwaukee	WI	53202
261980650	Dreyfus Group	60	0.40%	DREYFUS EQUITY INCMEFD CL A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261980668	Dreyfus Group	60	0.35%	DREYFUS INTERTNAT'L BOND FUND CL I	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
261980684	Dreyfus Group	60	0.40%	DREYFUS INTLBD FD CL A	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
26200C403	Dreyfus Group	60	0.40%	DREYFUS OPPORT SMALL CAP FUND	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
26200Q204	Dreyfus Group	60	0.35%	DREYFUS SMALL CAP STOCK INDEX	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
262028301	Driehaus Capital Management	60	0.40%	DRIEHAUS EMERGING MARKETS	25 East Erie Street	CHICAGO	IL	60611
262028830	Driehaus Capital Management	60	0.40%	DRIEHAUS EMERGING MARKETS SM CAP GRWTH	25 East Erie Street	CHICAGO	IL	60611
277902656	Eaton Vance Group	60	0.40%	EATON VANCE ATLANTA CAP SMID CAP FD A	Two International Place	BOSTON	MA	02110
277905865	Eaton Vance Group	60	0.40%	EATON VANCE BALANCED CLASS A	Two International Place	BOSTON	MA	02110
277911129	Eaton Vance Group	60	0.40%	EATON VANCE FLOATINGRATE FUND CLASS A	Two International Place	BOSTON	MA	02110
277923660	Eaton Vance Group	60	0.40%	EATON VANCE FLOATINGRATE ADVANTAGE CL A	Two International Place	BOSTON	MA	02110
298706102	American Funds Group	60	$18.00	AMERICAN EUROPACIFICGROWTH CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
30254T759	FPA Funds	60	0.35%	FPA CRESCENT FUND	11601 Wilshire Blvd, Suite 1200	LOS ANGELES	CA	90025
302933205	FMI Funds	60	0.40%	FMI LARGE CAP FUND	777 East Wisconsin Avenue MK-WI-T4MF	Milwaukee	WI	53202
302933304	FMI Funds	60	0.40%	FMI INTERNATIONAL	777 East Wisconsin Avenue MK-WI-T4MF	Milwaukee	WI	53202
304871106	Fairholme	60	$08.00	FAIRHOLME FUND	4400 Biscayne Boulevard	MIAMI	FL	33137
304871304	Fairholme	60	$08.00	FAIRHOLME FOCUSED INCOME FUND	4400 Biscayne Boulevard	MIAMI	FL	33137
314172362	Federated Funds	60	0.10%	FEDERATED INT'L STRAT VALUE DIV IS	4000 Ericsson Drive	Warrendale	PA	15086-7515
314172446	Federated Funds	60	0.40%	FEDERATED KAUFMANN LARGE CAP FUND CL A	4000 Ericsson Drive	Warrendale	PA	15086-7515
31417P502	Federated Funds	60	0.40%	FEDERATED STRATEGIC INCOME CLASS A	4000 Ericsson Drive	Warrendale	PA	15086-7515
314197104	Federated Funds	60	0.40%	FEDERATED HIGH YIELDTRUST SS	4000 Ericsson Drive	Warrendale	PA	15086-7515
31420C878	Federated Funds	60	0.40%	FEDERATED CAPITAL INCOME CL A	4000 Ericsson Drive	Warrendale	PA	15086-7515
31428P301	Federated Funds	60	$12.00	FEDERATED US GOV'T SECURITIES 2-5 CL R	4000 Ericsson Drive	Warrendale	PA	15086-7515
317609220	Emerald Mutual Funds	60	0.40%	EMERALD BANKING AND FINANCE FD INVESTOR	3175 Oregon Pike	LEOLA	PA	17540
317609261	Emerald Mutual Funds	60	0.40%	EMERALD GROWTH INVESTOR	3175 Oregon Pike	LEOLA	PA	17540
317609295	Seafarer	60	0.10%	SEAFARER OVERSEAS GROWTH & INC INSTL	1290 Broadway, Suite 1100	DENVER	CO	80203
317609683	Vulcan Funds	60	0.40%	VULCAN VALUE PARTNERS SMALL CAP	2801 Highway 280 South, Suite 300	BIRMINGHAM	AL	35223
32008F101	First Eagle SoGen Funds	60	0.40%	FIRST EAGLE OVERSEAS CLASS A	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F507	First Eagle SoGen Funds	60	0.40%	FIRST EAGLE GLOBAL CLASS A	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F705	First Eagle SoGen Funds	60	0.09%	FIRST EAGLE GLOBAL CLASS C	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F788	First Eagle SoGen Funds	60	0.09%	FIRST EAGLE GOLD FUND CLASS C	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
32008F804	First Eagle SoGen Funds	60	0.09%	FIRST EAGLE OVERSEAS CLASS C	1345 Avenue of the Americas 43rd Floor	NEW YORK	NY	10105
337941504	Firsthand Funds	60	0.40%	FIRSTHAND TECHNOLOGYOPPORTUNITIES FUND	150 Almaden Blvd., Suite 1250	SAN JOSE	CA	95113
339128308	JP Morgan Funds	60	0.40%	JP MORGAN MID CAP VALUE FUND CLASS A	1111 Polaris Parkway	Columbus	OH	43240
349913830	Forward Funds	60	0.40%	SALIENT INTERNTL SMALL CAP INVESTOR	101 California St. Suite 1600	SAN FRANCISCO	CA	94111
353612104	Franklin Group of Funds	60	0.35%	FRANKLIN CONVERTIBLESECURITIES A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
353612682	Franklin Group of Funds	60	0.35%	FRANKLIN BALANCED FDCL A	100 Fountain Parkway	ST. PETERSBURG	FL	33716

354713505	Franklin Group of Funds	60	0.35%	FRANKLIN STRATEGIC INCOME CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
354728305	Franklin Group of Funds	60	0.35%	FRANKLIN TEMPLETON GBL CURRENCY CL A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
35472P844	Franklin Group of Funds	60	0.35%	FRANKLIN FOUNDING FDALLOCATION CL A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
360802102	American Funds Group	60	$18.00	AMERICAN FUNDAMENTALINVESTORS CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
362395105	Gabelli/Westwood Funds	60	0.35%	GABELLI ASSET FUND AAA	401 Theodore Fremd. Ave.	RYE	NY	10580
36239R107	Gabelli/Westwood Funds	60	0.40%	GABELLI GOLD FUND CLAAA	401 Theodore Fremd. Ave.	RYE	NY	10580
36239T103	Gabelli/Westwood Funds	60	0.35%	GABELLI SMALL CAP GROWTH AAA	401 Theodore Fremd. Ave.	RYE	NY	10580
36239T202	Gabelli/Westwood Funds	60	0.35%	GABELLI EQUITY INCOME FUND AAA	401 Theodore Fremd. Ave.	RYE	NY	10580
36240E103	Gabelli/Westwood Funds	60	0.35%	GABELLI UTILITIES	401 Theodore Fremd. Ave.	RYE	NY	10580
378690770	Glenmede	60	0.40%	GLENMEDE LARGE CAP GROWTH	1650 Market St. Suite 1200	PHILADELPHIA	PA	19103
378690788	Glenmede	60	0.40%	GLENMEDE LARGE CAP CORE	1650 Market St. Suite 1200	PHILADELPHIA	PA	19103
38141W562	Goldman Sachs Asset Mgmt Group	60	0.40%	GOLDMAN SACHS INCOMEBUILDER FUND A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38141W661	Goldman Sachs Asset Mgmt Group	60	0.50%	GOLDMAN SACHS HIGH YIELD SVS SHRS	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38142B336	Goldman Sachs Asset Mgmt Group	60	$19.00	GOLDMAN SACHS SMALL CAP VALUE CLASS C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H340	Goldman Sachs Asset Mgmt Group	60	$19.00	GOLDMAN SACHS SATELLITE PORT CL C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H696	Goldman Sachs Asset Mgmt Group	60	$19.00	GOLDMAN SACHS US EQUITY DIV PREM C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H803	Goldman Sachs Asset Mgmt Group	60	0.40%	GOLDMAN SACHS EMERGEMKTS DEBT FUND CL A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38143H878	Goldman Sachs Asset Mgmt Group	60	0.40%	GOLDMAN SACHS US MORTGAGE FD CLASS A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38144N627	Goldman Sachs Asset Mgmt Group	60	0.40%	GOLDMAN SACHS INTL SM CAP INSIGHTS A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38145C315	Goldman Sachs Asset Mgmt Group	60	0.40%	GOLDMAN SACHS RISINGDIVIDEND GROWTH CL A	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
38145C653	Goldman Sachs Asset Mgmt Group	60	$19.00	GOLDMAN SACHS STRATEGIC INCOME C	71 S. Wacker Drive, 4th Floor	CHICAGO	IL	60606
399874106	American Funds Group	60	$18.00	AMERICAN GROWTH FUNDOF AMERICA CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
40169J879	Rydex Series Trust	60	0.40%	GUGGENHEIM TOTAL RETURN BOND CL P	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
402031405	Guinness Atktinson Funds	60	0.40%	GUINNESS ATKINSON GLOBAL ENERGY	2220 E. Route 66, Suite 226	GLENDORA	CA	91740
40428X230	HSBC Funds	60	0.08%	HSBC FRONTIER MARKTS FUND CL A	452 Fifth Ave, 7th Floor	NEW YORK	NY	10018
409902830	John Hancock Funds	60	0.40%	JOHN HANCOCK US GLBLLEADERS GROWTH CL A	601 Congress St., 9th Fl.	BOSTON	MA	02210
409905106	John Hancock Funds	60	0.40%	JOHN HANCOCK REGIONAL BANK CL A	601 Congress St., 9th Fl.	BOSTON	MA	02210
411511108	Harbor Funds	60	0.08%	HARBOR BOND INST	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511504	Harbor Funds	60	0.08%	HARBOR CAPITAL APPRECIAT INSTL	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511645	Harbor Funds	60	0.35%	HARBOR INTERNATIONALINVESTOR SHARES	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511736	Harbor Funds	60	0.35%	HARBOR MID CAP VALUEINVESTOR CLASS	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511785	Harbor Funds	60	0.35%	HARBOR MID CAP GROWTH INV CLASS	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
411511819	Harbor Funds	60	0.35%	HARBOR CAPITAL APPRECIATION INV CL	111 S. Wacker Dr, 34th Floor	CHICAGO	IL	60606
412295305	Harding Loevner	60	0.40%	HARDING LOEVNER EMERG MRKTS PORT ADV	PO Box 4766	CHICAGO	IL	60680
412295503	Harding Loevner	60	0.40%	HARDING LOEVNER INTL EQUITY PORT INV	PO Box 4766	CHICAGO	IL	60680
412295883	Harding Loevner	60	0.40%	HARDING LOEVNER INTLSMALL CO PORT INV CL	PO Box 4766	CHICAGO	IL	60680
413838103	Oakmark Funds	60	0.35%	OAKMARK FUND I	111 South Wacker Dr.	CHICAGO	IL	60606
413838202	Oakmark Funds	60	0.35%	OAKMARK INTERNATIONAL CL I	111 South Wacker Dr.	CHICAGO	IL	60606
413838400	Oakmark Funds	60	0.35%	OAKMARK EQUITY & INCOME FD I	111 South Wacker Dr.	CHICAGO	IL	60606
413838509	Oakmark Funds	60	0.35%	OAKMARK INTERNAT'L SMALL CAP I	111 South Wacker Dr.	CHICAGO	IL	60606
413838608	Oakmark Funds	60	0.35%	OAKMARK SELECT I	111 South Wacker Dr.	CHICAGO	IL	60606
413838822	Oakmark Funds	60	0.35%	OAKMARK GLOBAL SELECT FD CL I	111 South Wacker Dr.	CHICAGO	IL	60606
416645406	Hartford Funds	60	0.40%	HARTFORD CAPITAL APPRECIATION CL A	5 Radnor Corporate Center	Radnor	PA	19087
416645638	Hartford Funds	60	0.10%	HARTFORD CAPITAL APPRECIATION CL C	5 Radnor Corporate Center	Radnor	PA	19087
416645844	Hartford Funds	60	0.10%	HARTFORD DIVIDEND & GROWTH CLASS A	5 Radnor Corporate Center	Radnor	PA	19087
416648210	Hartford Funds	60	0.10%	HARTFORD BALANCED INCOME FUND CL Y	5 Radnor Corporate Center	Radnor	PA	19087
416648228	Hartford Funds	60	0.10%	HARTFORD BALANCED INCOME FD CL C	5 Radnor Corporate Center	Radnor	PA	19087
416648533	Hartford Funds	60	0.10%	HARTFORD FLOATING RATE CL C	5 Radnor Corporate Center	Radnor	PA	19087
422352500	Heartland Funds	60	0.40%	HEARTLAND VALUE PLUS	789 N. WATER STREET	MILWAUKEE	WI	53202
422352807	Heartland Funds	60	0.40%	HEARTLAND SELECT VALUE	789 N. WATER STREET	MILWAUKEE	WI	53202
425067451	Henderson International Funds	60	0.40%	HENDERSON ALL ASSET FUND CL A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611

425067709	Henderson International Funds	60	0.40%	HENDERSON EUROPEAN FOCUS CLASS A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
425067717	Henderson International Funds	60	0.40%	HENDERSON GLOBAL EQTY INC FD CL A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
425067816	Henderson International Funds	60	0.40%	HENDERSON STRATEGIC INCOME FUND CLASS A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
425067840	Henderson International Funds	60	0.40%	HENDERSON INTERNAT'LOPPORTUNTIES CLASS A	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
425067881	Henderson International Funds	60	0.10%	HENDERSON EUROPEAN FOCUS CL C	737 North Michigan Ave., Ste. 1700	CHICAGO	IL	60611
425888302	Hennessy Funds	60	0.40%	HENNESSY CORNERSTONEMID CAP 30 INV CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
425888609	Hennessy Funds	60	0.12%	HENNESSY CORNERSTONE MID CAP 30 INSTL CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P205	Hennessy Funds	60	0.40%	HENNESSY CORNERSTONELARGE GRWTH INV CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P700	Hennessy Funds	60	0.40%	HENNESSY FOCUS FUND INVESTOR CLASS	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P833	Hennessy Funds	60	0.40%	HENNESSY GAS UTILITYINVESTOR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
42588P874	Hennessy Funds	60	0.40%	HENNESSY SMALL CAP FINANCIAL INVSTR CL	7250 Redwood Blvd., Ste 200	NOVATO	CA	94945
437769508	Homestead	60	0.12%	HOMESTEAD SMALL COMPANY STOCK FD	4301 Wilson Blvd	ARLINGTON	VA	22203
44929K101	Icon Advisers	60	0.40%	ICON NATURAL RESOURCES FD CL S	5299 DTC Blvd. Suite 1200	GREENWOOD VILLAGE	CO	80111
44929K507	Icon Advisers	60	0.40%	ICON ENERGY CL S	5299 DTC Blvd. Suite 1200	GREENWOOD VILLAGE	CO	80111
44929K879	Icon Advisers	60	0.40%	ICON UTILITIES FUND CLASS S	5299 DTC Blvd. Suite 1200	GREENWOOD VILLAGE	CO	80111
45070A107	IVA Funds	60	0.07%	IVA WORLDWIDE FUND CL A	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A305	IVA Funds	60	0.07%	IVA INTERNATIONAL FUND CL A	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A404	IVA Funds	60	0.07%	IVA INTERNATIONAL FUND CL I	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A503	IVA Funds	60	0.07%	IVA WORLDWIDE FUND CL C	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
45070A602	IVA Funds	60	0.07%	IVA INTERNATIONAL FUND CL C	717 Fifth Avenue 10th Fl	NEW YORK	NY	10022
453320103	American Funds Group	60	$18.00	AMERICAN INCOME FUND OF AMERICA CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
460953102	Kinetics (Internet) Funds	60	0.40%	THE INTERNET FUND	470 Park Avenue South	NEW YORK	NY	10016
461195109	Intrepid Capital Fund	60	0.40%	INTREPID ENDURANCE FUND INVESTOR CLASS	1400 Marsh Landing Pkwy. Suite 106	Jacksonville Beach	FL	32250
461195208	Intrepid Capital Fund	60	0.40%	INTREPID CAPITAL FUND INVESTOR CLASS	1400 Marsh Landing Pkwy. Suite 106	Jacksonville Beach	FL	32250
461308108	American Funds Group	60	$18.00	AMERICAN INVESTMNT CO OF AMERICA CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
461418360	Towle Funds	60	0.10%	TOWLE DEEP VALUE FUND	2220 E. Route 66, Suite 226	GLENDORA	CA	91740
461418428	Zacks	60	0.40%	ZACKS SMALL-CAP COREFUND	Suite 1600 10 South Riverside Plaza	CHICAGO	IL	60606
46141P123	Oak Ridge Funds	60	0.40%	OAK RIDGE SMALL CAP GROWTH CLASS A	10 S. LaSalle St. Suite 1900	CHICAGO	IL	60603
46141Q493	Chartwell Investment Partners, LLC	60	0.12%	BERWYN INCOME FUND	1189 Lancaster Ave.	Berwyn	PA	19312
465897866	Ivy Funds	60	0.40%	IVY EMERGING MARKETSEQUITY CL A	6300 Lamar Ave	OVERLAND PARK	KS	66202
466000668	Ivy Funds	60	0.40%	IVY HIGH INCOME CL A	6300 Lamar Ave	OVERLAND PARK	KS	66202
466000718	Ivy Funds	60	0.40%	IVY SCIENCE & TECHNOLOGY CL A	6300 Lamar Ave	OVERLAND PARK	KS	66202
466000759	Ivy Funds	60	0.40%	IVY ASSET STRATEGY CL A	6300 Lamar Ave	OVERLAND PARK	KS	66202
470259102	James Advantage	60	0.40%	JAMES BALANCED: GOLDEN RAINBOW FUND	1290 Broadway St. Suite 1100	DENVER	CO	80203
471023200	Janus Funds	60	0.35%	JANUS GROWTH AND INCOME CLASS T	151 Detroit St.	DENVER	CO	80206
471023309	Janus Funds	60	0.35%	JANUS GLOBAL RESEARCH FD CL T	151 Detroit St.	DENVER	CO	80206
471023507	Janus Funds	60	0.35%	JANUS VENTURE FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023549	Janus Funds	60	0.35%	JANUS TRITON FUND CLASS T SHARES	151 Detroit St.	DENVER	CO	80206
471023572	Janus Funds	60	0.35%	PERKINS SMALL CAP VALUE CLASS T	151 Detroit St.	DENVER	CO	80206
471023598	Janus Funds	60	0.35%	PERKINS MID CAP VALUE FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023606	Janus Funds	60	0.35%	JANUS FLEXIBLE BOND FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023648	Janus Funds	60	0.35%	JANUS GLOBAL SELECT CL T	151 Detroit St.	DENVER	CO	80206
471023655	Janus Funds	60	0.35%	JANUS CONTRARIAN FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023671	Janus Funds	60	0.35%	JANUS GLOBAL LIFE SCIENCES FUND CL T	151 Detroit St.	DENVER	CO	80206
471023762	Janus Funds	60	0.35%	JANUS HIGH YIELD FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023804	Janus Funds	60	0.35%	JANUS ENTERPRISE FUND CLASS T SHARES	151 Detroit St.	DENVER	CO	80206
471023846	Janus Funds	60	0.35%	JANUS OVERSEAS FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023853	Janus Funds	60	0.35%	JANUS RESEARCH FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023879	Janus Funds	60	0.35%	JANUS BALANCED FUND CLASS T	151 Detroit St.	DENVER	CO	80206
471023887	Janus Funds	60	0.35%	JANUS SHORT TERM BOND FUND CLASS T	151 Detroit St.	DENVER	CO	80206
47103A625	Janus Funds	60	0.35%	JANUS FORTY FUND CL T	151 Detroit St.	DENVER	CO	80206

47103E247	Janus Funds	60	0.35%	INTECH GLOBAL INCOMEMANAGED VOL T	151 Detroit St.	DENVER	CO	80206
476313101	Jensen Funds	60	0.40%	JENSEN QUALITY GROWTH FD CL J	811 E. Wisconsin Ave, 8th Floor	MILWAUKEE	WI	53202
47803P328	John Hancock Funds	60	0.40%	JOHN HANCOCK DISCIPLVALUE INTL FD CL A	601 Congress St., 9th Fl.	BOSTON	MA	02210
47803T619	John Hancock Funds	60	0.40%	JOHN HANCOCK INTL GROWTH CL A	601 Congress St., 9th Fl.	BOSTON	MA	02210
47804A155	John Hancock Funds	60	0.40%	JOHN HANCOCK STR INCOPPORTUNITIES CL A	601 Congress St., 9th Fl.	BOSTON	MA	02210
4812A1365	JP Morgan Funds	60	0.40%	JPMORGAN SMALL CAP EQUITY CLASS A	1111 Polaris Parkway	Columbus	OH	43240
4812A1373	JP Morgan Funds	60	0.35%	JPMORGAN SMALL CAP EQUITY FND SELECT CL	1111 Polaris Parkway	Columbus	OH	43240
4812A2199	JP Morgan Funds	60	0.40%	JPMORGAN SMART RET INCOME CLASS A	1111 Polaris Parkway	Columbus	OH	43240
4812A2595	JP Morgan Funds	60	0.35%	JPMORGAN ADVANTAGE FD SELECT CLASS	1111 Polaris Parkway	Columbus	OH	43240
4812A2637	JP Morgan Funds	60	0.40%	JPMORGAN VALUE ADVANTAGE CL A	1111 Polaris Parkway	Columbus	OH	43240
4812A3270	JP Morgan Funds	60	0.07%	JPMORGAN INCOME BUILDER FUND CLASS C	1111 Polaris Parkway	Columbus	OH	43240
4812A3288	JP Morgan Funds	60	0.38%	JP MORGAN INCOME BUILDER FUND CL A	1111 Polaris Parkway	Columbus	OH	43240
4812A3502	JP Morgan Funds	60	0.40%	JPMORGAN SMART RET 2020 CLASS A	1111 Polaris Parkway	Columbus	OH	43240
4812A4385	JP Morgan Funds	60	0.40%	JP MORGAN STRATEGIC INCOME OPPORT A	1111 Polaris Parkway	Columbus	OH	43240
4812C0464	JP Morgan Funds	60	0.40%	JPMORGAN EQUITY INCOME FUND CL A	1111 Polaris Parkway	Columbus	OH	43240
4812C1413	JP Morgan Funds	60	0.35%	JPMORGAN LIMITED DURATION BOND FD A	1111 Polaris Parkway	Columbus	OH	43240
4812C1488	JP Morgan Funds	60	0.40%	JPMORGAN INTREPID MID CAP FUND CLASS A	1111 Polaris Parkway	Columbus	OH	43240
494613607	Kinetics (Internet) Funds	60	0.40%	KINETICS PARADIGM FUND	470 Park Avenue South	NEW YORK	NY	10016
494613706	Kinetics (Internet) Funds	60	0.40%	KINETICS SMALL CAP OPPORTUNITIES	470 Park Avenue South	NEW YORK	NY	10016
494613789	Kinetics (Internet) Funds	60	0.40%	KINETICS MARKET OPPORTUNITIES FD	470 Park Avenue South	NEW YORK	NY	10016
52106N442	Lazard Funds	60	0.40%	LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N467	Lazard Funds	60	0.40%	LAZARD DEVELOPING MRKTS EQ CL SHARES	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N582	Lazard Funds	60	0.40%	LAZARD INTL STRAT EQUITY PORT OPEN CL	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N764	Lazard Funds	60	0.40%	LAZARD EMERGING MKTSEQUITY OPEN CL SHRS	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
52106N780	Lazard Funds	60	0.40%	LAZARD US SMALL MID CAP EQ PORT OPEN CL	30 Rockefeller Plaza, 57th Fl.	NEW YORK	NY	10112
524686482	Legg Mason	60	0.40%	CLEARBRIDGE SMALL CAP FUND CLASS A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
52468C109	Legg Mason	60	0.40%	CLEARBRIDGE AGGRESSIVE GROWTH A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
52468E105	Legg Mason	60	0.40%	CLEARBRIDGE APPRECIATION CLASS A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
52469F366	Legg Mason	60	0.40%	WESTERN ASSET MORT BACKED SEC A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
52469F630	Legg Mason	60	0.40%	WESTERN ASSET SHORT DURATION HIGH INC A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
52469H826	Legg Mason	60	0.40%	CLEARBRIDGE LARGE CAP GROWTH A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
527289102	Leuthold Funds	60	0.40%	LEUTHOLD CORE INVESTMENT	33 South Sixth St. Suite 4600	MINNEAPOLIS	MN	55402
527289300	Leuthold Funds	60	0.40%	LEUTHOLD GRIZZLY SHORT FUND	33 South Sixth St. Suite 4600	MINNEAPOLIS	MN	55402
527289888	Leuthold Funds	60	0.40%	LEUTHOLD GLOBAL FUNDRETAIL CLASS SHARES	33 South Sixth St. Suite 4600	MINNEAPOLIS	MN	55402
543069108	Longleaf Partners	60	$20.00	LONGLEAF PARTNERS	6410 Poplar Avenue, Suite 900	MEMPHIS	TN	38119
543069405	Longleaf Partners	60	$20.00	LONGLEAF INTERNATL	6410 Poplar Avenue, Suite 900	MEMPHIS	TN	38119
543487284	Natixis Global Associates	60	0.40%	LOOMIS SAYLES STRATEGIC INC CL A	399 Boylston Street, 8th Floor	BOSTON	MA	02116
543495774	Loomis Sayles Funds	60	0.35%	LOOMIS SAYLES GLOBAL BOND RETAIL	399 Boylston Street, 8th Fl	BOSTON	MA	02116
543495832	Loomis Sayles Funds	60	0.35%	LOOMIS SAYLES BOND RETAIL SHARES	399 Boylston Street, 8th Fl	BOSTON	MA	02116
543495840	Loomis Sayles Funds	60	0.35%	LOOMIS SAYLES BOND INSTL	399 Boylston Street, 8th Fl	BOSTON	MA	02116
543915862	Lord Abbett Family of Funds	60	0.40%	LORD ABBETT FUNDMNTLEQUITY CL A	90 Hudson Street 10th Floor	Jersey City	NJ	07302
543916100	Lord Abbett Family of Funds	60	0.32%	LORD ABBETT SHORT DURATION INCOME CL A	90 Hudson Street 10th Floor	Jersey City	NJ	07302
543916845	Lord Abbett Family of Funds	60	0.32%	LORD ABBETT TOTAL RETURN CL A	90 Hudson Street 10th Floor	Jersey City	NJ	07302
544004104	Lord Abbett Family of Funds	60	0.32%	LORD ABBETT BOND DEBENTURE CLASS A	90 Hudson Street 10th Floor	Jersey City	NJ	07302
55272P596	MFS Family of Funds	60	0.08%	MFS MID CAP VALUE FUND CL I	111 Huntington Ave	BOSTON	MA	02199-7632
552983538	MFS Family of Funds	60	0.08%	MFS NEW DISCOVERY CLASS C	111 Huntington Ave	BOSTON	MA	02199-7632
552987323	MFS Family of Funds	60	0.08%	MFS BLENDED RESEARCH EMERG MRKETS EQ B	111 Huntington Ave	BOSTON	MA	02199-7632
56062F541	Mainstay	60	0.40%	MAINSTAY COMMON STOCK CLASS A	169 Lackawanna Ave	PARSIPPANY	NJ	07454
56063U745	Mainstay	60	0.40%	MAINSTAY US EQUITY OPPORTUNITIES CL A	169 Lackawanna Ave	PARSIPPANY	NJ	07454
56064V205	Mairs & Powers	60	0.10%	MAIRS & POWER GROWTH FUND	777 E. Wisconsin Avenue, Floor 4 MK-WI-T4	Milwaukee	WI	53202
561656505	Blackrock Funds	60	0.40%	BLACKROCK US MORTGAGE PORT CL A	40 East 52nd Street	NEW YORK	NY	10022

563821529	Manning & Napier	60	0.40%	MANNING & NAPIER INTL SERIES CL S	290 Woodcliff Dr.	Fairport	NY	14450
563821545	Manning & Napier	60	0.40%	MANNING & NAPIER WORLD OPPT SER CL A	290 Woodcliff Dr.	Fairport	NY	14450
563821602	Manning & Napier	60	0.40%	MANNING & NAPIER EQUITY SERIES	290 Woodcliff Dr.	Fairport	NY	14450
563821651	Manning & Napier	60	0.40%	MANNING & NAPIER PROBLEND CONSV CL S	290 Woodcliff Dr.	Fairport	NY	14450
56382P641	Manning & Napier	60	0.40%	MANNING & NAPIER REAL ESTATE SRS S	290 Woodcliff Dr.	Fairport	NY	14450
573012309	Marsico Funds	60	0.40%	MARSICO 21ST CENTURYFUND	235 West Galena Street	Milwaukee	WI	53212
573012507	Marsico Funds	60	0.40%	MARSICO FLEXIBLE CAPITAL FUND	235 West Galena Street	Milwaukee	WI	53212
577119100	Matthew 25 Fund	60	0.40%	MATTHEW 25	P.O. Box 2479	JENKINTOWN	PA	19046
577125107	Matthews Asian Funds	60	0.40%	MATTHEWS ASIA DIVIDEND FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577125206	Matthews Asian Funds	60	0.40%	MATTHEWS ASIA SMALL COMPANIES FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577125305	Matthews Asian Funds	60	0.40%	MATTHEWS CHINA DIV FUND INVESTOR CLASS	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577125883	Matthews Asian Funds	60	0.40%	MATTHEWS EMERGING ASIA FUND INVESTOR	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130107	Matthews Asian Funds	60	0.40%	MATTHEWS PACIFIC TIGER FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130206	Matthews Asian Funds	60	0.40%	MATTHEWS ASIAN GROWTH & INCOME FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130701	Matthews Asian Funds	60	0.40%	MATTHEWS CHINA FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130800	Matthews Asian Funds	60	0.40%	MATTHEWS JAPAN FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130834	Matthews Asian Funds	60	0.10%	MATTHEWS PACIFIC TIGER FUND INSTL	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
577130859	Matthews Asian Funds	60	0.40%	MATTHEWS INDIA FUND	4 Embarcadero Center Suite 550	SAN FRANCISCO	CA	94111
589509108	Westchester Funds	60	0.40%	MERGER FUND	100 Summit Lake Drive #201	VALHALLA	NY	10595
592905103	Metropolitan West Funds	60	0.35%	METROPOLITAN WEST TOT RETURN BOND CL M	865 South Figueroa St. #1400	LOS ANGELES	CA	90017
592905202	Metropolitan West Funds	60	0.35%	METROPOLITAN WEST LOW DURATION M	865 South Figueroa St. #1400	LOS ANGELES	CA	90017
592905509	Metropolitan West Funds	60	0.05%	METROPOLITAN WEST TOTAL RETURN CLASS I	865 South Figueroa St. #1400	LOS ANGELES	CA	90017
592905756	Metropolitan West Funds	60	0.40%	METWEST UNCONSTRAINED BOND M	865 South Figueroa St. #1400	LOS ANGELES	CA	90017
592905871	Metropolitan West Funds	60	0.40%	METROPOLITAN WEST HIGH YIELD BOND CL M	865 South Figueroa St. #1400	LOS ANGELES	CA	90017
616962106	Morgan Stanley Funds	60	0.40%	MORGAN STANLEY MORTGAGE SEC TR CL A	522 Fifth Avenue, 4th Floor	NEW YORK	NY	10036
617440581	Morgan Stanley Funds	60	0.40%	MORGAN STANLEY CORE PLUS FIXED INC PRT A	522 Fifth Avenue, 4th Floor	NEW YORK	NY	10036
61744J580	Morgan Stanley Funds	60	0.40%	MORGAN STAN INSTL INC EMERG MKT PORT A	522 Fifth Avenue, 4th Floor	NEW YORK	NY	10036
61756E552	Morgan Stanley Funds	60	0.10%	MORGAN STANLEY GLOBAL DISCOVERY I	522 Fifth Avenue, 4th Floor	NEW YORK	NY	10036
61756E685	Morgan Stanley Funds	60	0.40%	MORGAN STANLEY GLOBAL OPPORTUNITY A	522 Fifth Avenue, 4th Floor	NEW YORK	NY	10036
619815103	Motley Fool Funds	60	0.40%	MOTLEY FOOL INDEPENDENCE FD	2000 Duke Street, Suite 175	ALEXANDRIA	VA	22314
619815202	Motley Fool Funds	60	0.40%	MOTLEY FOOL GREAT AMERICA FUND	2000 Duke Street, Suite 175	ALEXANDRIA	VA	22314
62826M483	JP Morgan Funds	60	0.40%	JPMORGAN GROWTH ADVANTAGE FUND CL A	1111 Polaris Parkway	Columbus	OH	43240
62827L682	Eventide Funds	60	0.40%	EVENTIDE GILEAD FUND CLASS N	80 Arkay Suite 110	HAUPPAUGE	NY	11788
62827M524	Catalyst Funds	60	0.10%	CATALYST LYONS TACTICAL ALLOC CL I	80 Arkay Suite 110	HAUPPAUGE	NY	11788
62827M797	Catalyst Funds	60	0.10%	CATALYST HEDGED FUTURE STRATEGY FD I	80 Arkay Suite 110	HAUPPAUGE	NY	11788
62827M821	Catalyst Funds	60	0.40%	CATALYST HEDGED FUTURES STRATEGY A	80 Arkay Suite 110	HAUPPAUGE	NY	11788
63872T562	Natixis Global Associates	60	0.05%	LOOMIS SAYLES SR FLT RATE & FIXED INC C	399 Boylston Street, 8th Floor	BOSTON	MA	02116
63872T745	Natixis Global Associates	60	0.40%	ASG MANAGED FUTURES STRATEY FUND CL A	399 Boylston Street, 8th Floor	BOSTON	MA	02116
63983V209	Needham Funds	60	0.40%	NEEDHAM AGGRESSIVE GROWTH	445 Park Ave.; 15th Floor	NEW YORK	NY	10022
640917100	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN GENESIS TRUST CLASS	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
640917407	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN LRG CAP VALUE TRUST	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
640917506	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN FOCUS TRUST CLASS	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
640917803	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN SMALL CAP GRWTH TRUS	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
641224266	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN MIDCAP GROWTH FUND CL A	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
641224522	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN EQUITY INCOME FUND A	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
641224845	Neuberger Berman Group	60	0.40%	NEUBERGER BERMAN REAL ESTATE TRUST CL	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
64128K751	Neuberger Berman Group	60	0.10%	NEUBERGER BERMAN STRATEGIC INC INSTL	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
64128K769	Neuberger Berman Group	60	$12.00	NEUBERGER BERMAN STRATEGIC INC CL C	605 3rd Avenue 2nd Floor	NEW YORK	NY	10158
643822109	American Funds Group	60	$18.00	AMERICAN NEW ECONOMYFUND CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
648018109	American Funds Group	60	$18.00	AMERICAN NEW PERSPECTIVE CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
648018406	American Class F	60	0.37%	AMERICAN NEW PERSPECTIVE CLASS F1	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321

649280104	American Funds Group	60	$18.00	AMERICAN NEW WORLD FUND CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
653735100	Nicholas Funds	60	0.12%	NICHOLAS FUND	700 N. Water St. 10th Floor	Milwaukee	WI	53202
653738203	Nicholas Funds	60	0.40%	NICHOLAS LIMITED EDITION INC CLASS N	700 N. Water St. 10th Floor	Milwaukee	WI	53202
665162400	Northern Funds	60	0.40%	NORTHERN SMALL CAP VALUE	801 South Canal, C-5S	CHICAGO	IL	60675
665162483	Northern Funds	60	0.40%	NORTHERN MULTI - MANAGER EMG MRKT EQ	801 South Canal, C-5S	CHICAGO	IL	60675
66537T711	Pacific Financial	60	0.40%	PFG TACTICAL FUND INVESTOR CLASS	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T737	Pacific Financial	60	0.40%	PFG STRATEGIC CONSERVATIVE INVST	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T752	Pacific Financial	60	0.40%	PFG INTERNATIONAL FUND - INVESTOR CL	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T778	Pacific Financial	60	0.40%	PFG EXPLORER FUND INVESTOR CLASS	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537T794	Pacific Financial	60	0.40%	PFG CORE EQUITY FUND - INVESTOR	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66537Y793	Astor Funds	60	0.10%	ASTOR SECTOR ALLOCATION CL I	111 South Wacker Drive, Suite 3910	CHICAGO	IL	60606
66538B495	Pacific Financial	60	0.40%	PACIFIC FINANCIAL DYNAMIC ALLOC INVEST	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
66538B511	Pacific Financial	60	0.40%	PACIFIC FINANC FLEX GRWTH INCOME CL INV	777 108th Ave NE, Ste 2100	BELLEVUE	WA	98004
67064Y503	Nuveen Mutual Funds	60	0.40%	NUVEEN LARGE- CAP VALUE FUND CLASS A	333 West Wacker Drive	CHICAGO	IL	60606
67064Y669	Nuveen Mutual Funds	60	0.40%	NUVEEN TRADEWINDS VALUE OPP FD A	333 West Wacker Drive	CHICAGO	IL	60606
670678309	Nuveen Mutual Funds	60	0.40%	NUVEEN SMALL CAP VALUE CLASS A	333 West Wacker Drive	CHICAGO	IL	60606
670690346	Nuveen Mutual Funds	60	0.40%	NUVEEN INFLATION PROTECTED SEC CL A	333 West Wacker Drive	CHICAGO	IL	60606
670690494	Nuveen Mutual Funds	60	0.40%	NUVEEN GLOBAL INFRASTRUCTURE CL A	333 West Wacker Drive	CHICAGO	IL	60606
670700103	Nuveen Mutual Funds	60	0.40%	NUVEEN PREFERRED SECURITIES FUND CL A	333 West Wacker Drive	CHICAGO	IL	60606
674375209	Oberweis Funds	60	0.40%	OBERWEIS MICRO CAP FUND	3333 Warrenville Road, Ste. 500	LISLE	IL	60532
674375506	Oberweis Funds	60	0.40%	OBERWEIS INTL OPPORTUNITIES FUND	3333 Warrenville Road, Ste. 500	LISLE	IL	60532
68379Y105	Oppenheimer Funds	60	0.40%	OPPENHEIMER DISCOVERMID CAP GROWTH CL A	6801 South Tucson Way	Englewood	CO	80112
68380L100	Oppenheimer Funds	60	0.40%	OPPENHEIMER INT'L GROWTH CLASS A	6801 South Tucson Way	Englewood	CO	80112
68380L308	Oppenheimer Funds	60	$16.50	OPPENHEIMER INT'L GROWTH CLASS C	6801 South Tucson Way	Englewood	CO	80112
68380U100	Oppenheimer Funds	60	0.40%	OPPENHEIMER INTL SMLMID COMPANY CL A	6801 South Tucson Way	Englewood	CO	80112
68381K101	Oppenheimer Funds	60	0.40%	OPPENHEIMER SENIOR FLOATING RATE CL A	6801 South Tucson Way	Englewood	CO	80112
683910103	Oppenheimer Funds	60	0.40%	OPPENHEIMER GOLD & SPEC MINERALS CL A	6801 South Tucson Way	Englewood	CO	80112
683921407	Oppenheimer Funds	60	$16.50	OPPENHEIMER DISCOVERY CLASS C	6801 South Tucson Way	Englewood	CO	80112
683924104	Oppenheimer Funds	60	0.40%	OPPENHEIMER GLOBAL FD CLASS A	6801 South Tucson Way	Englewood	CO	80112
683943104	Oppenheimer Funds	60	0.40%	OPPENHEIMER GLOBAL OPPORTUNITIES CL A	6801 South Tucson Way	Englewood	CO	80112
683974307	Oppenheimer Funds	60	$16.50	OPPENHEIMER DEV MARKETS CLASS C	6801 South Tucson Way	Englewood	CO	80112
693390429	Pimco Funds	60	0.20%	PIMCO TOTAL RETURN CLASS C	1633 Broadway	NEW YORK	NY	10019
693391146	Pimco Funds	60	0.20%	PIMCO REAL RETURN CLASS C	1633 Broadway	NEW YORK	NY	10019
693391666	Pimco Funds	60	0.40%	PIMCO FOREIGN BOND US DOLLAR HEDGED D	1633 Broadway	NEW YORK	NY	10019
693391674	Pimco Funds	60	0.38%	PIMCO TOTAL RETURN CLASS D	1633 Broadway	NEW YORK	NY	10019
693391682	Pimco Funds	60	0.40%	PIMCO REAL RETURN CLASS D	1633 Broadway	NEW YORK	NY	10019
693391716	Pimco Funds	60	0.40%	PIMCO HIGH YIELD CLASS D	1633 Broadway	NEW YORK	NY	10019
693391732	Pimco Funds	60	0.38%	PIMCO LOW DURATION CLASS D	1633 Broadway	NEW YORK	NY	10019
69351J421	PNC Funds	60	0.40%	PNC MULTI FACT SMALL CAP GROWTH A	1 East Pratt Street	BALTIMORE	MD	21202-1128
69351K105	PNC Funds	60	0.40%	PNC LARGE CAP VALUE FD CL A	1 East Pratt Street	BALTIMORE	MD	21202-1128
701765869	Parnassus Funds	60	0.40%	PARNASSUS ENDEAVOR FUND	One Market Street-Steuart Tower Suite 160(	SAN FRANCISCO	CA	94105
701765885	Parnassus Funds	60	0.40%	PARNASSUS MID CAP	One Market Street-Steuart Tower Suite 160(	SAN FRANCISCO	CA	94105
701769101	Parnassus Funds	60	0.40%	PARNASSUS CORE EQUITY INVESTOR	One Market Street-Steuart Tower Suite 160(	SAN FRANCISCO	CA	94105
70422T208	Pax World Funds	60	0.40%	PAX ELLEVATE GLOBAL WOMENS INDEX IND INV	1290 Broadway, Suite 1100	DENVER	CO	80203
70472Q609	Pear Tree Funds	60	0.40%	PEAR TREE POLARIS FRGN VAL SM CAP ORD	55 Old Bedford Road	LINCOLN	MA	01773
70472Q708	Pear Tree Funds	60	0.40%	PEAR TREE POLARIS FRGN VALUE ORDINARY	55 Old Bedford Road	LINCOLN	MA	01773
712223106	Dreyfus Group	60	0.35%	DREYFUS MIDCAP INDEX FUND	144 Glenn Curtiss Blvd 8th Floor	UNIONDALE	NY	11556
714199106	Permanent Portfolio	60	0.38%	PERMANENT PORTFOLIO	600 Montgomery St. Suite 4100	SAN FRANCISCO	CA	94111-2702
722005212	Pimco Funds	60	0.40%	PIMCO FOREIGN BOND FUND (UNHEDGED) CL D	1633 Broadway	NEW YORK	NY	10019
722005550	Pimco Funds	60	0.40%	PIMCO COMMODITY REAL RETURN CL D	1633 Broadway	NEW YORK	NY	10019
722005568	Pimco Funds	60	0.20%	PIMCO COMMODITY REALRETURN STRAT C	1633 Broadway	NEW YORK	NY	10019

722008505	Pimco Funds	60	0.40%	PIMCO INVESTMENT GRADE CORP BOND CL D	1633 Broadway	NEW YORK	NY	10019
72200Q265	Pimco Funds	60	0.40%	PIMCO REAL ESTATE REAL RETURN STRAT D	1633 Broadway	NEW YORK	NY	10019
72200Q307	Pimco Funds	60	0.40%	PIMCO GNMA CLASS D	1633 Broadway	NEW YORK	NY	10019
72200Q398	Pimco Funds	60	0.40%	PIMCO STOCKSPLUS INTERNATL (US$HDG) D	1633 Broadway	NEW YORK	NY	10019
72200Q588	Pimco Funds	60	0.40%	PIMCO STOCKSPLUS ABSOLUTE RETURN D	1633 Broadway	NEW YORK	NY	10019
72200Q679	Pimco Funds	60	0.40%	PIMCO ALL ASSET FUND CLASS D	1633 Broadway	NEW YORK	NY	10019
72200Q711	Pimco Funds	60	0.20%	PIMCO ALL ASSET FUND CLASS A	1633 Broadway	NEW YORK	NY	10019
72201F458	Pimco Funds	60	0.38%	PIMCO INCOME FUND CL D	1633 Broadway	NEW YORK	NY	10019
72201F466	Pimco Funds	60	0.20%	PIMCO INCOME FUND CL C	1633 Broadway	NEW YORK	NY	10019
72201F722	Pimco Funds	60	0.40%	PIMCO STOCKSPLUS SMALL FUND D	1633 Broadway	NEW YORK	NY	10019
72201F862	Pimco Funds	60	0.40%	PIMCO RAE FUNDAMNTALPLUS FUND D	1633 Broadway	NEW YORK	NY	10019
72201M149	Pimco Funds	60	0.40%	PIMCO RAE FUNDAMNTALADVANTAGE PLUS D	1633 Broadway	NEW YORK	NY	10019
72201M719	Pimco Funds	60	0.10%	PIMCO INCOME CL P	1633 Broadway	NEW YORK	NY	10019
72201P134	Pimco Funds	60	0.40%	PIMCO COMMODITIES PLUS STRATEGY CL D	1633 Broadway	NEW YORK	NY	10019
72201W774	Pimco Funds	60	0.40%	PIMCO SENIOR FLOATING RATE CL D	1633 Broadway	NEW YORK	NY	10019
723622106	Pioneer Group	60	0.40%	PIONEER BOND CLASS A	60 State Street, 17th Fl.	BOSTON	MA	02109
723622403	Pioneer Group	60	0.10%	PIONEER BOND FUND CLASS Y	60 State Street, 17th Fl.	BOSTON	MA	02109
723622502	Pioneer Group	60	0.10%	PIONEER BOND FUND CLASS R	60 State Street, 17th Fl.	BOSTON	MA	02109
723884102	Pioneer Group	60	0.40%	PIONEER STRATEGIC INCOME CLASS A	60 State Street, 17th Fl.	BOSTON	MA	02109
72388E100	Pioneer Group	60	0.40%	PIONEER DYNAMIC CREDIT CLASS A	60 State Street, 17th Fl.	BOSTON	MA	02109
741479109	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE GROWTH STOCK	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
741480107	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE HEALTH SCIENCES	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P200	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE RET 2020 FUND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P309	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE RET 2030 FD	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P408	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE RET 2040 FD	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74149P770	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE RETIREMENT 2035 FUND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
74160Q103	Prime Cap Odyssey	60	0.08%	PRIMECAP ODYSSEY GROWTH FUND	2020 E. Financial Way, Suite 100	GLENDORA	CA	91741
74160Q202	Prime Cap Odyssey	60	0.08%	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	2020 E. Financial Way, Suite 100	GLENDORA	CA	91741
74160Q301	Prime Cap Odyssey	60	0.08%	PRIMECAP ODYSSEY STO CK FUND	2020 E. Financial Way, Suite 100	GLENDORA	CA	91741
74254T369	Principal	60	0.40%	PRINCIPAL SMALL CAP FUND CLASS A	620 Coolidge Drive, Suite 300	FOLSOM	CA	95630
74254T443	Principal	60	0.40%	PRINCIPAL MID CAP FUND CLASS A	620 Coolidge Drive, Suite 300	FOLSOM	CA	95630
74254V562	Principal	60	0.40%	PRINCIPAL SHORT TERM INCOME FD CLASS A	620 Coolidge Drive, Suite 300	FOLSOM	CA	95630
742935109	Hodges Fund	60	0.40%	HODGES FUND	2905 Maple Avenue	DALLAS	TX	75201
742935117	Akre Funds	60	0.40%	AKRE FOCUS FUND RETAIL	777 E. Wisconsin Ave. 4th FL	Milwaukee	WI	53202
742935299	Hodges Fund	60	0.40%	HODGES SMALL CAP FUND	2905 Maple Avenue	DALLAS	TX	75201
742935489	Osterweis	60	0.06%	THE OSTERWEIS STRATEGIC INCOME FD	777 E. Wisconsin Ave, 4th fl	Milwaukee	WI	53202
742935539	Villere Balanced	60	0.40%	VILLERE BALANCED	601 Poydras Street Ste 1808	NEW ORLEANS	LA	70130-6038
74316J516	Becker	60	0.40%	BECKER VALUE EQUITY	1211 SW 5th Ave	PORTLAND	OR	97204
743185449	Pro Funds	60	0.40%	SEMICONDUCTOR ULTRA SECTOR PRO FD INVSTR	7501 Wisconsin Ave, Suite 1000 East Tower	BETHESDA	MD	20814
743185480	Pro Funds	60	0.40%	BIOTECHNOLOGY ULTRA SECTOR PRO FD INVS	7501 Wisconsin Ave, Suite 1000 East Tower	BETHESDA	MD	20814
744336108	Prudential Investments	60	0.10%	PRUDENTIAL GLOBAL REAL ESTATE CLASS A	655 Broad Street	NEWARK	NJ	07102
744336306	Prudential Investments	60	0.10%	PRUDENTIAL GLOBAL REAL ESTATE CLASS C	655 Broad Street	NEWARK	NJ	07102
74441K305	Prudential Investments	60	0.10%	PRUDENTIAL JENNISON NATURAL RESOURCES C	655 Broad Street	NEWARK	NJ	07102
74441R102	Prudential Investments	60	0.40%	PRUDENTIAL SHORT TERM CORP BOND CL A	655 Broad Street	NEWARK	NJ	07102
74441R300	Prudential Investments	60	0.10%	PRUDENTIAL SHORT TERM CORP BOND CL C	655 Broad Street	NEWARK	NJ	07102
74442J109	Prudential Investments	60	0.40%	PRUDENTIAL SHORT DURHIGH YIELD INCOME A	655 Broad Street	NEWARK	NJ	07102
746444108	Putnam Funds	60	0.40%	PUTNAM DYNAMIC ASSETALLOC GROWTH CLASS A	One Post Office Square Mailzone G3C	BOSTON	MA	02109
746764646	Putnam Funds	60	0.40%	PUTNAM GLOBAL INDUSTRIALS FD A	One Post Office Square Mailzone G3C	BOSTON	MA	02109
74676P102	Putnam Funds	60	0.40%	PUTNAM CAPITAL SPECTRUM FUND CL A	One Post Office Square Mailzone G3C	BOSTON	MA	02109
74676P169	Putnam Funds	60	0.40%	PUTNAM EQUITY SPECTRUM FUND CL A	One Post Office Square Mailzone G3C	BOSTON	MA	02109
746778109	Putnam Funds	60	0.40%	PUTNAM GLOBAL HEALTHCARE FUND CLASS A	One Post Office Square Mailzone G3C	BOSTON	MA	02109

746792100	Putnam Funds	60	0.40%	PUTNAM INCOME FUND CLASS A	One Post Office Square Mailzone G3C	BOSTON	MA	02109
749255121	Boston Partners	60	0.40%	BOSTON PARTNERS ALL CAP VALUE INVS	5 Christy Dr	Chadds Ford	PA	19317
749255261	Boston Partners	60	0.10%	BOSTON PARTNERS LONG SHORT EQ INSTL	5 Christy Dr	Chadds Ford	PA	19317
749255337	Boston Partners	60	0.40%	BOSTON PARTNERS SM CAP VALUE II INVS	5 Christy Dr	Chadds Ford	PA	19317
74925K417	RBB Funds	60	0.40%	SCOTIA DYNAMIC US GROWTH FUND CL I	1055 Westlakes Drive	Berwyn	PA	19312
750869604	Rainier Investment Funds	60	0.10%	RAINIER SMALL/MID CAP EQUITY PORT INST	601 Union Street Ste 2801	SEATTLE	WA	98101
76628R581	Ridgeworth	60	0.10%	RIDGEWORTH CEREDEX MID-CP VAL EQ CL C	100 Huntington Avenue, Copley Place	BOSTON	MA	02116
76628R615	Ridgeworth	60	0.40%	RIDGEWORTH CEREDEX MID-CAP VAL EQ I	100 Huntington Avenue, Copley Place	BOSTON	MA	02116
76628R672	Ridgeworth	60	0.40%	RIDGEWORTH CEREDEX LRG CP VAL EQ CL I	100 Huntington Avenue, Copley Place	BOSTON	MA	02116
76628T678	Ridgeworth	60	0.10%	RIDGEWORTH FLOATING RATE INCOME FD I	100 Huntington Avenue, Copley Place	BOSTON	MA	02116
76882K801	RiverPark Funds	60	0.40%	RIVERPARK SHORT TERMHIGH YIELD RETAIL	One Freedom Valley Drive	OAKS	PA	19456
779546100	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE DIVIDEND GROWTH	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779547108	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE EQUITY INCOME	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77954M105	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE CAP APPRECIATION	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77954Q106	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE BLUE CHIP GROWTH INC	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77956H856	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE GLOBAL STOCK	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77956H864	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE EMERGING MKTS STOCK	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
77957P105	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE SHORT TERM BOND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779917103	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE QM US SML CAP GRWTH EQUITY	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
779919109	T. Rowe Price Financial Institution Service	60	0.04%	T ROWE PRICE REAL ESTATE FUND	4515 Painters Mill Rd	OWINGS MILLS	MD	21117
780811642	Royce Funds	60	0.40%	ROYCE MICRO CAP OPPORTUNITY SERVICE	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905733	Royce Funds	60	0.40%	ROYCE SMALL CAP VALUE SERVICE CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905741	Royce Funds	60	0.40%	ROYCE SMALLER CO GROWTH SERVICE CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905782	Royce Funds	60	0.40%	ROYCE SPECIAL EQUITYINVESTMENT CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905840	Royce Funds	60	0.40%	ROYCE PENNSYLVANIA MUTUAL INVST CLASS	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
780905881	Royce Funds	60	0.40%	ROYCE TOTAL RETURN FD INVESTMENT CL	745 Fifth Avenue Suite 2400	NEW YORK	NY	10151
783554413	Rydex Series Trust	60	0.40%	RYDEX NASDAQ 100 2X STRATEGY CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554587	Rydex Series Trust	60	0.40%	RYDEX TRANSPORTATIONCLASS H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554603	Rydex Series Trust	60	0.40%	RYDEX NASDAQ 100 INV CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554751	Rydex Series Trust	60	0.40%	RYDEX ENERGY INVESTOR CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554793	Rydex Series Trust	60	0.40%	RYDEX CONSUMER PRODUCTS INVESTOR CL	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554827	Rydex Series Trust	60	0.40%	RYDEX BIOTECHNOLOGY INV CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
783554843	Rydex Series Trust	60	0.40%	RYDEX BASIC MATERIALS INV CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78355E577	Rydex Series Trust	60	0.40%	RYDEX SMALL CAP VALUE H CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78355E676	Rydex Series Trust	60	0.40%	RYDEX LARGE CAP VALUE H CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78355E726	Rydex Series Trust	60	0.40%	RYDEX MID CAP GROWTH H CLASS	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A509	Rydex Series Trust	60	0.40%	RYDEX COMMODITIES STRATEGY CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A632	Rydex Series Trust	60	0.40%	RYDEX S&P 500 FD CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A665	Rydex Series Trust	60	0.40%	RYDEX RUSSELL 2000 FD CL H	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
78356A780	Rydex Series Trust	60	0.40%	GUGGENHEIM MULTI - HEDGE STRATEGIES P	9601 Blackwell Rd., Ste. 500	ROCKVILLE	MD	20850
784924664	SSgA Funds	60	0.40%	SSGA HIGH YIELD BOND	One Lincoln St.- State Street Financial Cente	BOSTON	MA	02111-2900
784924789	SSgA Funds	60	0.40%	SSGA EMERGING MARKETS	One Lincoln St.- State Street Financial Cente	BOSTON	MA	02111-2900
804096501	Sextant Funds	60	0.40%	SEXTANT INTRNATIONALFUND	1300 North State Street	BELLINGHAM	WA	98225
808509731	Schwab Funds	60	0.40%	SCHWAB HEALTH CARE FUND	211 Main St	SAN FRANCISCO	CA	94105
808509806	Schwab Funds	60	0.40%	SCHWAB CORE EQUITY	211 Main St	SAN FRANCISCO	CA	94105
808530208	Schwartz Investment Trust	60	0.40%	AVE MARIA CATHOLIC VALUES	801 W. Ann Arbor Trail Suite 244	Plymouth	MI	48170
808530307	Schwartz Investment Trust	60	0.40%	AVE MARIA GROWTH	801 W. Ann Arbor Trail Suite 244	Plymouth	MI	48170
808530505	Schwartz Investment Trust	60	0.08%	AVE MARIA BOND CL R	801 W. Ann Arbor Trail Suite 244	Plymouth	MI	48170
808530604	Schwartz Investment Trust	60	0.40%	AVE MARIA RISING DIVIDEND FUND	801 W. Ann Arbor Trail Suite 244	Plymouth	MI	48170
808530802	Schwartz Investment Trust	60	0.40%	AVE MARIA WORLD EQUITY FUND	801 W. Ann Arbor Trail Suite 244	Plymouth	MI	48170
81063U206	UMB Scout	60	0.40%	SCOUT MID CAP FUND	235 W. Galena Street	Milwaukee	WI	53212-3948

81063U743	UMB Scout	60	0.40%	SCOUT UNCONSTRAINED BOND CL Y	235 W. Galena Street	Milwaukee	WI	53212-3948
829800101	SIT Group	60	0.35%	SIT US GOVT SECS	80 South 8th Street	MINNEAPOLIS	MN	55402
831681101	American Funds Group	60	$18.00	AMERICAN SMALL CAP WORLD CLASS A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
83178C808	Smead Funds	60	0.10%	SMEAD VALUE FUND CL A	1290 Broadway, Suite 1100	Denver	CO	80203
85520V335	FMX Funds	60	0.40%	CAVALIER FUNDAMENTALGROWTH FUND INSTL	116 South Franklin Street	Rocky Mount	NC	27804
86704B822	Sunamerica Funds	60	0.40%	SUNAMERICA FOCUSED DIVIDEND STRAT CL A	3200 Plaza 5-Harborside Financial Ctr.	JERSEY CITY	NJ	07311-4007
87234N351	TCW Galileo	60	0.40%	TCW EMERGING MARKETS INCOME CL N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N518	TCW Galileo	60	0.40%	TCW RELATIVE VALUE DIVIDEND APPREC CL N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N641	TCW Galileo	60	0.40%	TCW TOTAL RETURN BOND CLASS N	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
87234N880	TCW Galileo	60	0.05%	TCW TOTAL RETURN BOND CLASS I	865 South Figuera Street, 22nd Floor	LOS ANGELES	CA	90017
880208103	Franklin Group of Funds	60	0.35%	TEMPLETON GLOBAL BOND CLASS A	100 Fountain Parkway	ST. PETERSBURG	FL	33716
88166L652	Gabelli/Westwood Funds	60	0.35%	TETON WESTWOOD MIGHTY MITES FD AAA	401 Theodore Fremd. Ave.	RYE	NY	10580
884116401	Third Avenue Funds	60	0.35%	THIRD AVENUE REAL ESTATE VALUE INSTL	622 Third Avenue 32 Floor	NEW YORK	NY	10017
884116500	Third Avenue Funds	60	0.35%	THIRD AVENUE INTL VALUE INSTL CLASS	622 Third Avenue 32 Floor	NEW YORK	NY	10017
884116864	Third Avenue Funds	60	0.40%	THIRD AVENUE INTL VALUE FUND INVESTOR	622 Third Avenue 32 Floor	NEW YORK	NY	10017
884116872	Third Avenue Funds	60	0.40%	THIRD AVENUE REAL ESTATE VALUE INVST	622 Third Avenue 32 Floor	NEW YORK	NY	10017
884891201	Thompson Investment Management, Inc.	60	0.25%	THOMPSON BOND FUND	918 Deming Way 3rd Floor	MADISON	WI	53717
885215210	Thornburg Funds	60	0.10%	THORNBURG STRATEGIC INC FD CL C	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215343	Thornburg Funds	60	0.40%	THORNBURG GLOBAL OPPORTUNITIES FD A	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215467	Thornburg Funds	60	0.10%	THORNBURG INCOME BUILDER CL I	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215509	Thornburg Funds	60	0.40%	THORNBURG LTD TERM INCOME CLASS A	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215541	Thornburg Funds	60	0.10%	THORNBURG INV INCOME BUILDER FUND CL C	2300 North Ridgetop Rd	SANTA FE	NM	87506
885215558	Thornburg Funds	60	0.40%	THORNBURG INV INCOME BUILDER FUND CL A	2300 North Ridgetop Rd	SANTA FE	NM	87506
887432409	Timothy Plan	60	0.08%	TIMOTHY SMALL CAP VALUE CLASS A	80 Arkay Drive, Suite 110	HAUPPAUGE	NY	11788
887432433	Timothy Plan	60	0.08%	TIMOTHY PLAN DEFEN STRATEGIES CLASS I	80 Arkay Drive, Suite 110	HAUPPAUGE	NY	11788
887432532	Timothy Plan	60	0.08%	TIMOTHY PLAN EMERGING MRKTS CL C	80 Arkay Drive, Suite 110	HAUPPAUGE	NY	11788
887432607	Timothy Plan	60	0.08%	TIMOTHY PLAN LRG/MID CAP VALUE CL A	80 Arkay Drive, Suite 110	HAUPPAUGE	NY	11788
887432789	Timothy Plan	60	0.08%	TIMOTHY PLAN LARGE / MID CAP GROWTH CL A	80 Arkay Drive, Suite 110	HAUPPAUGE	NY	11788
888894300	Tocqueville	60	0.40%	TOCQUEVILLE INTL VALUE	40 W 57th Street 19th Fl	NEW YORK	NY	10019
888894847	Tocqueville	60	0.40%	THE DELAFIELD FUND	40 W 57th Street 19th Fl	NEW YORK	NY	10019
888894862	Tocqueville	60	0.40%	TOCQUEVILLE GOLD FUND	40 W 57th Street 19th Fl	NEW YORK	NY	10019
89154Q737	Touchstone Family of Funds	60	0.10%	TOUCHSTONE SMALL CAP GROWTH FUND CLASS Y	303 Broadway, Suite 1100	CINCINNATI	OH	45202-4203
89155H678	Touchstone Family of Funds	60	0.40%	TOUCHSTONE ULTRA SHRDUR FIX INC CL Z	303 Broadway, Suite 1100	CINCINNATI	OH	45202-4203
89155H819	Touchstone Family of Funds	60	0.40%	TOUCHSTONE SANDS CAP SEL GRWTH Z	303 Broadway, Suite 1100	CINCINNATI	OH	45202-4203
893509281	Transamerica	60	0.10%	TRANSAMERICA LARGE CAP VALUE CL A	4333 Edgewood Rd NE	CEDAR RAPIDS	IA	52499
89609H837	Tributary Funds	60	0.40%	TRIBUTARY BALANCED FUND INSTL	1620 Dodge Street, Stop 1089	OMAHA	NE	68197
89609H878	Tributary Funds	60	0.40%	TRIBUTARY SMALL COMPANY FD INSTL	1620 Dodge Street, Stop 1089	OMAHA	NE	68197
900297300	TIP Funds	60	0.40%	TURNER SMALL CAPITALGROWTH INV CL	1205 Westlakes Drive Suite 100	BERWYN	PA	19312
900297557	TIP Funds	60	0.40%	TURNER MEDICAL SCI LONG/SHORT INVESTOR	1205 Westlakes Drive Suite 100	BERWYN	PA	19312
901165100	Tweedy Browne	60	$25.00	TWEEDY BROWNE GLOBAL VALUE FUND	One Station Place, 5th Floor	STAMFORD	CT	06902
903288371	USAA Fundserv Funds	60	0.40%	USAA SCIENCE & TECHNOLOGY ADVISER	9800 Fredericksburg Rd.	SAN ANTONIO	TX	78288
903288470	USAA Fundserv Funds	60	0.40%	USAA INTERMEDIATE TERM BOND ADVISER CL	9800 Fredericksburg Rd.	SAN ANTONIO	TX	78288
903288819	USAA Fundserv Funds	60	0.10%	USAA NASDAQ 100 INDEX RETAIL	9800 Fredericksburg Rd.	SAN ANTONIO	TX	78288
903288876	USAA Fundserv Funds	60	0.10%	USAA SCIENCE & TECHNOLOGY RETAIL	9800 Fredericksburg Rd.	SAN ANTONIO	TX	78288
90470K396	Symons Funds	60	0.40%	SYMONS VALUE INSTL	650 Washington Road Suite 800	PITTSBURGH	PA	15228-2702
911476208	US Global Investors	60	0.40%	GLOBAL RESOURCES FUND	7900 Callaghan	SAN ANTONIO	TX	78229
911476802	US Global Investors	60	0.40%	WORLD PRECIOUS MINERALS FUND	7900 Callaghan	SAN ANTONIO	TX	78229
920457108	Value Line Mutual Funds	60	0.40%	VALUE LINE PREMIER GROWTH FUND	7 Times Square, 21st Fl	NEW YORK	NY	10036
92046L650	Foundry Partners LLC	60	0.40%	FOUNDRY PARTNERS FDMSMALL CAP VAL INVST	510 First Avenue N., Suite 409	MINNEAPOLIS	MN	55403
92046L692	Sound Mind	60	0.10%	SOUND MIND INVESTING FUND	9700 Park Plaza Ave, #203	Louisville	KY	40241-2287
92046L718	Sound Mind	60	0.10%	SMI DYNAMIC ALLOCATION FUND	9700 Park Plaza Ave, #203	Louisville	KY	40241-2287

921075743	VanEck	60	$12.00	VAN ECK GLOBAL HARD ASSETS CLASS C	666 3rd Avenue, 9th Fl	NEW YORK	NY	10017
926464231	Victory Capital Management	60	$12.00	VICTORY SYCAMORE ESTABLISHED VALUE A	127 Public Square	CLEVELAND	OH	44114
92647K820	Victory Capital Management	60	0.40%	VICTORY INTEGRITY SMALL CAP VALUE A	127 Public Square	CLEVELAND	OH	44114
92647Q678	Victory Capital Management	60	0.40%	VICTORY GLOBAL NATURAL RESOURCES A	127 Public Square	CLEVELAND	OH	44114
92828R164	Virtus	60	0.10%	VIRTUS MULTI ASSET TREND FUND CLASS I	101 Munson St. Ste. 3	GREENFIELD	MA	01301
92828R644	Virtus	60	0.10%	VIRTUS MULTI SECTOR SHORT TERM BOND CL A	101 Munson St. Ste. 3	GREENFIELD	MA	01301
92828W387	Virtus	60	0.10%	VIRTUS EMERGING MRKT OPPORTUNITIES A	101 Munson St. Ste. 3	GREENFIELD	MA	01301
92913K405	VOYA Funds	60	0.40%	VOYA SMALL CAP OPPORTUNITIES CL A	7337 E. Doubletree Ranch Rd	SCOTTSDALE	AZ	85258
92914A844	VOYA Funds	60	0.10%	VOYA GLOBAL BOND CLASS C	7337 E. Doubletree Ranch Rd	SCOTTSDALE	AZ	85258
933310104	Walthausen Funds	60	0.40%	WALTHAUSEN SMALL CAP VALUE FD	2691 Route 9	MALTA	NY	12020
936772102	Wasatch Funds	60	0.40%	WASATCH SMALL CAP GROWTH	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936772201	Wasatch Funds	60	0.40%	WASATCH CORE GROWTH	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936793306	Wasatch Funds	60	0.40%	WASATCH WORLD INNOVATORS FUND	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936793405	Wasatch Funds	60	0.40%	WASATCH INTERNATIONAL GROWTH	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936793504	Wasatch Funds	60	0.40%	WASATCH MICRO-CAP VALUE FUND	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936793702	Wasatch Funds	60	0.40%	WASATCH INTERNATIONLOPPORTUNITIES FD	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936793843	Wasatch Funds	60	0.40%	WASATCH LARGE CAP VALUE FUND	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
936793884	Wasatch Funds	60	0.40%	WASATCH EMERGING MARKETS SMALL CAP FD	505 Wakara Way, Suite 300	SALT LAKE CITY	UT	84108
939330106	American Funds Group	60	$18.00	AMERICAN WASHNTN MUTUAL INVESTRS CL A	3500 Wiseman Blvd	SAN ANTONIO	TX	78251-4321
94975H213	Wells Fargo Funds	60	0.08%	WELLS FARGO INDEX ASSET ALLOC AD	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
94975P389	Wells Fargo Funds	60	0.35%	WELLS FARGO EMG MRKTS EQ INC ADM	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
94975P462	Wells Fargo Funds	60	0.40%	WELLS FARGO LARGE CAP GROWTH A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
94984B389	Wells Fargo Funds	60	0.40%	WELLS FARGO EMERGING MRKTS EQ A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
94985D210	Wells Fargo Funds	60	0.40%	WELLS FARGO HIGH YLD BOND CL A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
94985D442	Wells Fargo Funds	60	0.40%	WELLS FARGO ASSET ALLOCATION CL A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
949915672	Wells Fargo Funds	60	0.40%	WELLS FARGO GROWTH CLASS A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
949921308	Wells Fargo Funds	60	0.40%	WELLS FARGO SPECIAL MID CAP CL A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
949921506	Wells Fargo Funds	60	0.40%	WELLS FARGO DISCOVERY FD CL A	525 Market St., MAC #A0103-122	SAN FRANCISCO	CA	94105
957663495	Legg Mason	60	0.40%	WESTERN ASSET CORE BOND FUND CL A	620 8th Avenue, 49th Fl.	NEW YORK	NY	10018
957904584	Westcore Funds	60	0.40%	WESTCORE MID CAP VALUE DIVIDEND FUND	Republic Plaza, 370 17th Street, Suite 5000	DENVER	CO	80202
957904675	Westcore Funds	60	0.30%	WESTCORE PLUS BOND FUND	Republic Plaza, 370 17th Street, Suite 5000	DENVER	CO	80202

DUKE ENERGY RETIREMENT SAVINGS PLAN
EIN: 20-2777218 PN: 002
Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)
December 31, 2016

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Market Value (in thousands)
*	Duke Energy Common Stock Fund	Common Stock	**	$ 1,798,526
*	US Equity Small/Midcap Blend Fund	Institutional Fund	**	536,255
*	US Equity All Cap Blend Fund	Institutional Fund	**	346,775
*	Non-US Equity Blend Fund	Institutional Fund	**	516,615
*	Fixed Income Blend Fund	Institutional Fund	**	378,328
*	US Equity S&P 500 Index Fund	Commingled Fund	**	1,429,397
*	Target Retirement Date Fund 2010	Institutional Fund	**	21,802
*	Target Retirement Date Fund 2015	Institutional Fund	**	76,904
*	Target Retirement Date Fund 2020	Institutional Fund	**	208,061
*	Target Retirement Date Fund 2025	Institutional Fund	**	223,215
*	Target Retirement Date Fund 2030	Institutional Fund	**	173,260
*	Target Retirement Date Fund 2035	Institutional Fund	**	93,799
*	Target Retirement Date Fund 2040	Institutional Fund	**	89,157
*	Target Retirement Date Fund 2045	Institutional Fund	**	94,900
*	Target Retirement Date Fund 2050	Institutional Fund	**	59,609
*	Target Retirement Date Fund 2055	Institutional Fund	**	35,935
*	Target Retirement Date Fund Post Retirement	Institutional Fund	**	36,737
*	Diversified Real Asset Fund	Commingled Fund	**	7,721
*	Fidelity BrokerageLink	Self-directed brokerage account	**	566,835
	Stable Value Fund	Common Collective Trust Fund	**	612,018
*	Global Real Estate Investment Trust Fund	Commingled Fund	**	36,004
	Total Investments			$ 7,341,853
*	Participant Loans	Participant Loans Interest Rates ranging from 3.25% - 9.25%	– 0 –	131,914
	Total			$ 7,473,767

* Permitted party-in-interest

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