

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). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 <div style="text-align: center; font-size: 1.2em; font-weight: bold;">2020</div> This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>	
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.) ☒ a single-employer plan ☐ a DFE (specify) _____
B This return/report is:	☐ the first return/report ☐ the final return/report ☐ an amended return/report ☐ a short plan year return/report (less than 12 months)
C If the plan is a collectively-bargained plan, check here.	☒
D Check box if filing under:	☐ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)

Part II	Basic Plan Information —enter all requested information				
1a Name of plan <u>UNITEDHEALTH GROUP 401(K) SAVINGS PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>07/01/1985</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>001</u>	1c Effective date of plan <u>07/01/1985</u>	
1b Three-digit plan number (PN) ▶	<u>001</u>				
1c Effective date of plan <u>07/01/1985</u>					
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) <u>UNITEDHEALTH GROUP INCORPORATED</u> <u>9900 BREN ROAD EAST</u> <u>MN008-R120</u> <u>MINNETONKA, MN 55343</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>41-1321939</u></td> </tr> <tr> <td>2c Plan Sponsor's telephone number <u>952-936-1300</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>541990</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>41-1321939</u>	2c Plan Sponsor's telephone number <u>952-936-1300</u>	2d Business code (see instructions) <u>541990</u>	
2b Employer Identification Number (EIN) <u>41-1321939</u>					
2c Plan Sponsor's telephone number <u>952-936-1300</u>					
2d Business code (see instructions) <u>541990</u>					

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	06/22/2021	DAVID E. STRAUSS
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.		
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE	Filed with authorized/valid electronic signature.		
	Signature of DFE	Date	Enter name of individual signing as DFE

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2020)
v. 200204

3a Plan administrator's name and address ☐ Same as Plan Sponsor UNITEDHEALTH GROUP EMPLOYEE BENEFITS PLANS ADMINISTRATIVE COMMITTEE UNITEDHEALTH GROUP INCORPORATED 9900 BREN ROAD EAST MN008-R120 MINNETONKA, MN 55343		3b Administrator's EIN 41-1321939
		3c Administrator's telephone number 952-936-1300
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN
5 Total number of participants at the beginning of the plan year		5 200119
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) 153274
a(2) Total number of active participants at the end of the plan year		6a(2) 157242
b Retired or separated participants receiving benefits.....		6b 306
c Other retired or separated participants entitled to future benefits		6c 49643
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d 207191
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e 256
f Total. Add lines 6d and 6e		6f 207447
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g 200306
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h 3192
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 2R 2S 2T 3H		
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:		
9a Plan funding arrangement (check all that apply) (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) ☐ <u>0</u> 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 2020 Form M-1 annual report. If the plan was not required to file the 2020 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) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2020
		This Form is Open to Public Inspection.

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan UNITEDHEALTH GROUP 401(K) SAVINGS PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 UNITEDHEALTH GROUP INCORPORATED	D Employer Identification Number (EIN) 41-1321939	

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. ☒ Yes ☐ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
FIDELITY INVST INSTNL OPRTN CO, INC
04-2647786

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

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

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

FIDELITY INVST INSTNL OPRTN CO, INC

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
64 37 65 71 50	RECORDKEEPER	6196796	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

BAKER TILLY VIRCHOW KRAUSE, LLP

39-0859910

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/ AUDITOR	9869	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

NFP RETIREMENT

33-0905143

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/ AUDITOR	1750	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

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

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

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

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVST INSTNL OPRTN CO, INC	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.	
BROKERAGE LINK 04-2647786	SEE SCHEDULE C ATTACHMENT LABELED - BROKERAGE LINK INDIRECT FEES	
(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
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(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:

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

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

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

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

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>		
A Name of plan <u>UNITEDHEALTH GROUP 401(K) SAVINGS PLAN</u>	B Three-digit plan number (PN) ►	<u>001</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>UNITEDHEALTH GROUP INCORPORATED</u>	D Employer Identification Number (EIN) <u>41-1321939</u>	

Part I	Asset and Liability Statement		
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.			
Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....		1a	
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions		1b(1)	
(2) Participant contributions.....		1b(2)	
(3) Other		1b(3)	
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)		1c(1)	53931425196912
(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)	
(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)	377181451358754798
(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)	1367168547615881571227
(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)	
(14) Value of funds held in insurance company general account (unallocated contracts).....		1c(14)	
(15) Other.....		1c(15)	304096785511451812

		(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:		
(1)	Employer securities.....	1d(1) 405394598	437018118
(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 14763751452	17193992867
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 through 1j)	1k 0	0
Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l 14763751452	17193992867

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.

		(a) Amount	(b) Total
a	Contributions:		
(1)	Received or receivable in cash from: (A) Employers	2a(1)(A) 440366975	
	(B) Participants	2a(1)(B) 954849601	
	(C) Others (including rollovers).....	2a(1)(C) 102090778	
(2)	Noncash contributions	2a(2)	
(3)	Total contributions. Add lines 2a(1)(A), (B), (C), and line 2a(2)	2a(3)	1497307354
b	Earnings on investments:		
(1)	Interest:		
	(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A) 11927	
	(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) 19897308	
	(F) Other	2b(1)(F)	
	(G) Total interest. Add lines 2b(1)(A) through (F).....	2b(1)(G)	19909235
(2)	Dividends: (A) Preferred stock.....	2b(2)(A)	
	(B) Common stock	2b(2)(B) 6121343	
	(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	
	(D) Total dividends. Add lines 2b(2)(A), (B), and (C)	2b(2)(D)	6121343
(3)	Rents	2b(3)	
(4)	Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A) 73950929	
	(B) Aggregate carrying amount (see instructions).....	2b(4)(B) 73736177	
	(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)	214752
(5)	Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	
	(B) Other	2b(5)(B) 71115971	
	(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)	71115971

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		1976543957
(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)		
c Other income	2c		88860300
d Total income. Add all income amounts in column (b) and enter total.....	2d		3660072912

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	1288618151	
(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)		1288618151
f Corrective distributions (see instructions)	2f		366078
g Certain deemed distributions of participant loans (see instructions).....	2g		478348
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)		
(4) Other.....	2i(4)	6208415	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		6208415
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		1295670992

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		2364401920
l Transfers of assets:			
(1) To this plan.....	2l(1)		65839495
(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) ☒ Unmodified (2) ☐ Qualified (3) ☐ Disclaimer (4) ☐ Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☐ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☒ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

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

(1) Name: **DELOITTE & TOUCHE, LLP**

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

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

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

Part IV Compliance Questions

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

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)

	Yes	No	Amount
4a		X	

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		5000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?			
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.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)			
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			
4k		X	
l Has the plan failed to provide any benefit when due under the plan?			
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

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

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 Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

<div>SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation</div>	<div>Retirement Plan Information</div> <div>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).</div> <div>▶ File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2020</div> <div>This Form is Open to Public Inspection.</div>
For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan UNITEDHEALTH GROUP 401(K) SAVINGS PLAN		B Three-digit plan number (PN) ▶ 001
C Plan sponsor's name as shown on line 2a of Form 5500 UNITEDHEALTH GROUP INCORPORATED		D Employer Identification Number (EIN) 41-1321939
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		
For Paperwork Reduction Act Notice, see the Instructions for Form 5500.		
Schedule R (Form 5500) 2020 v. 200204		

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 deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14a	
14b	
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.....

b The corresponding number for the second preceding plan year.....

15a	
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.....

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.....

16a	
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): _____

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:
☐ Yes.
☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.
☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.
☐ No. Other. Provide explanation _____

UnitedHealth Group 401(k) Savings Plan

Employer ID No: 41-1321939
Plan Number: 001

Financial Statements as of December 31, 2020 and 2019,
and for the Year Ended December 31, 2020, Supplemental
Schedule as of December 31, 2020, and Independent
Auditors' Report

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

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

INDEPENDENT AUDITORS' REPORT

To the Plan Participants and Plan Administrator of
UnitedHealth Group 401(k) Savings Plan
Minneapolis, MN

We have audited the accompanying financial statements of UnitedHealth Group 401(k) Savings Plan (the "Plan"), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, and the related statements of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

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. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from 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 management, as well as evaluating the overall presentation of the financial statements.

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of UnitedHealth Group 401(k) Savings Plan as of December 31, 2020 and 2019, and the changes in net assets available for benefits for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Supplemental Schedule

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of assets (held at end of year) as of December 31, 2020, is presented for the purpose of additional analysis and is not a required part of the 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. This schedule is the

responsibility of the Plan's management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. Such schedule has been subjected to the auditing procedures applied in our audits of the financial statements and certain additional procedures, including comparing and reconciling the schedule directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule is fairly stated in all material respects in relation to the financial statements as a whole.

Deloitte + Touche LLP

June 17, 2021

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS AS OF DECEMBER 31, 2020 AND 2019 (in thousands)

	2020	2019
ASSETS:		
Plan's interest in Master Trust.....	\$ 15,881,571	\$ 13,671,685
Investments - at fair value	953,667	714,885
Receivables:		
Notes receivable from participants.....	359,528	377,775
NET ASSETS AVAILABLE FOR BENEFITS	<u>\$ 17,194,766</u>	<u>\$ 14,764,345</u>

See Notes to the Financial Statements.

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS FOR THE YEAR ENDED DECEMBER 31, 2020 (in thousands)

ADDITIONS:

Contributions:

Employee	\$	954,849
Employer.....		440,367
Rollover		102,091

Total contributions.....		1,497,307
--------------------------	--	-----------

Plan's interest in Master Trust investment income.....		1,976,544
--	--	-----------

Net appreciation in fair value of investments		160,203
---	--	---------

Interest and dividends		6,133
------------------------------	--	-------

Interest income on notes receivable from participants.....		19,934
--	--	--------

Total additions		3,660,121
-----------------------	--	-----------

DEDUCTIONS:

Benefits paid to participants.....		1,289,331
------------------------------------	--	-----------

Administrative expenses		6,208
-------------------------------	--	-------

Total deductions		1,295,539
------------------------	--	-----------

INCREASE IN NET ASSETS BEFORE PLAN TRANSFERS		2,364,582
--	--	-----------

NET TRANSFERS INTO THE PLAN (Note 10).....		65,839
--	--	--------

INCREASE IN NET ASSETS AVAILABLE FOR BENEFITS.....		2,430,421
--	--	-----------

NET ASSETS AVAILABLE FOR BENEFITS:

Beginning of year		14,764,345
-------------------------	--	------------

End of year	\$	17,194,766
-------------------	----	------------

See Notes to the Financial Statements.

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

NOTES TO FINANCIAL STATEMENTS

AS OF DECEMBER 31, 2020 AND 2019 AND FOR THE YEAR ENDED DECEMBER 31, 2020

1. DESCRIPTION OF PLAN

The following description of the UnitedHealth Group 401(k) Savings Plan ("the Plan") is provided for informational purposes only. Participants should refer to the Plan document for a more complete description of the Plan's information.

General

The Plan was first established on July 1, 1985, as a defined contribution plan. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA), as amended. UnitedHealth Group Incorporated ("the Company") is the Plan sponsor.

The UnitedHealth Group Employee Benefits Plans Administrative Committee ("Plan Administrator") is responsible for oversight of the Plan, except with respect to investment matters. The UnitedHealth Group Employee Benefits Plans Investment Committee ("Investment Committee") determines the appropriateness of the Plan's investment offerings and monitors investment performance.

A majority of the Plan's investments are held in the UnitedHealth Group 401(k) Savings Plan Master Trust ("Master Trust"). The Master Trust is administered by Fidelity Management Trust Company ("the Trustee"). The Master Trust includes certain assets of the Plan and assets of other defined contribution plans of the Company's affiliates ("Participating Plans") in a single trust. Each Participating Plan has an interest in specific assets of the Master Trust based on participant account balances.

CARES Act

On March 27, 2020, the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) was signed into law. The provisions of the CARES Act affecting employer-sponsored retirement plans were optional. During 2020, the Plan opted into the following provisions of the CARES Act:

- Coronavirus-related distributions – Qualified individuals, as defined in the CARES Act, were permitted to take a coronavirus-related distribution of up to the lesser of \$100,000 or 100% of their vested account from the Plan, without incurring a 10% early withdrawal penalty. Eligible distributions were permitted to be taken until December 30, 2020. Distributions may be repaid to an eligible retirement plan within three years or a participant may elect to include these distributions in taxable income on a pro rata basis over three years.
- Participant loans – Qualified individuals with loans outstanding were permitted to suspend 2020 loan repayments through December 31, 2020. Additionally, qualified individuals were eligible to borrow up to a maximum equal to the lesser of \$100,000 or 100% of their vested account balance during 2020 (an increase from \$50,000 and from 50% of their vested account balance previously permitted), with repayments suspended until 2021.

Eligibility

In general, eligible employees may make salary deferral contributions to the Plan upon employment with a participating employer of the Company and are automatically enrolled in the Plan as soon as administratively feasible after their hire date. Participants become eligible for employer safe harbor matching contributions once they are credited with one year of service. Employees whose employment is governed by the terms of a

collective bargaining agreement (unless such collective bargaining agreement provides for the inclusion of those employees in the Plan), persons who the Company classifies as leased employees, and certain other classifications of employees are not eligible to participate in the Plan.

Contributions

Contributions to the Plan include (i) salary deferral contributions authorized by participants, (ii) matching contributions made by the Company, (iii) discretionary contributions made by the Company, and (iv) participant rollover contributions from another plan. Participants may elect to contribute a percentage up to 50% of their eligible compensation to the Plan, up to the maximum dollar amount permissible under the Internal Revenue Code (“the Code”). Salary deferral contributions include pretax deferrals and Roth deferrals. Eligible employees are automatically enrolled at an employee pretax deferral rate of 3% of their eligible pay, unless they decline to participate within a prescribed time limit or they elect a different deferral rate. The Plan provides for automatic annual deferral rate increases until the participant’s combined pretax and/or Roth deferral rate reaches 6%. Participants who have attained age 50 before the end of the plan year may make additional catch-up contributions, subject to limitations imposed by the Code. A participant’s salary deferral and catch-up contributions cannot exceed 80% of the participant’s eligible pay. Rollover contributions are assets formerly held in a qualified employee benefit plan of a prior employer, which a participant elects to be transferred into the Plan.

The Company makes a safe harbor matching contribution equal to 100% of contributions up to 3% of eligible compensation, plus 50% of the next 3% of eligible compensation for a maximum contribution of 4.5% per payroll period as defined in the Plan document. Additional discretionary contributions may also be made by the Company. No discretionary contributions were made during the 2020 plan year.

Participant Accounts

Each participant’s account is credited with the salary deferral contributions, rollover contributions, if any, an allocation of the Company’s contributions, and Plan earnings (net of administrative expenses). Allocations are based on the participant’s eligible compensation or account balances, as defined by the Plan. The benefit to which a participant is entitled is the benefit that can be provided from the participant’s vested account.

Investment Classification

All investments are participant directed. The Plan is intended to comply with ERISA section 404(c). Participants have the right to individually select the percentage of their accounts to be invested among different classifications of investments made available to them.

Vesting

Participants are immediately vested in their salary deferral contributions, rollover contributions, and earnings thereon. Employer safe harbor contributions and discretionary contributions, if any, and earnings thereon vest in accordance with the provisions of the Plan as follows:

<u>Years of Service</u>	<u>Vesting</u>
Less than 2 years	0%
2 or more	100%

Notwithstanding the vesting schedule above, employer contributions, if any, will become fully vested (100%) upon the occurrence of any of the following events while the participant is employed by the Company: the participant’s death, disability, attainment of normal retirement age (age 65), a partial or complete termination

of or complete discontinuance of contributions to the Plan, or an acceleration date, as defined in the Plan document.

Dividend Payout

The Plan includes a dividend payout feature for the UnitedHealth Group Stock Fund ("the Stock Fund"). This feature allows participants invested in the Stock Fund to elect whether dividends payable on Company stock held in the Stock Fund are distributed to participants in cash or reinvested in Company stock within the Stock Fund. The total dividends on the Company stock in the Stock Fund were \$6,133,269 for the year ended December 31, 2020. The amount participants elected to be distributed in cash was insignificant.

Forfeited Accounts

Nonvested account balances of terminated employees are forfeited. As of December 31, 2020 and 2019, forfeited nonvested accounts totaled \$157,441 and \$73,986, respectively. Forfeitures can be used to reduce future employer contributions or to pay certain administrative expenses. During the year ended December 31, 2020, employer contributions were reduced by \$2,683,911 from forfeiture accounts.

Payment of Benefits

Benefits may be paid to the participant or beneficiary upon death, disability, retirement, or termination of employment, as defined in the Plan document. The total vested portion of a participant's account balance may be distributed in the form of a lump-sum or partial payment. However, if a participant's account balance is valued at or less than \$1,000, it is distributed as soon as administratively practicable, without an application for distribution, in cash as a direct distribution to the participant. Participants taking a distribution have the option to rollover into an Individual Retirement Account or into another employer-sponsored plan. Participants experiencing financial hardship may withdraw a portion of their account balance, subject to conditions specified in the Plan document.

Notes Receivable from Participants

Participants may borrow from their account balance a minimum of \$1,000 up to a maximum equal to the lesser of \$50,000 (subject to reduction for certain loan balances in the prior 12 months) or 50% of their vested account balance. These loans are secured by the balance in the participant's account. The loan bears interest at the prime rate of interest, plus 1% and is payable over a period not to exceed 59 months. A loan that is used by the participant to acquire a principal residence may, if the loan originated prior to April 1, 2001, be repaid over a period not to exceed 30 years, or if the loan originated between April 1, 2001 and August 31, 2010 over a period not to exceed 10 years, and if the loan originated on or after September 1, 2010, be repaid over a period not to exceed 118 months. Principal and interest are paid ratably through payroll deductions. Participants may have up to two outstanding loans at one time.

As previously described in the CARES Act footnote above, CARES Act loan provisions allowed qualified individuals to suspend their loan repayments through December 31, 2020, and temporarily increased the maximum amount allowed for borrowing.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

The Plan's financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("GAAP").

Investments held by a defined contribution plan are required to be reported at fair value, except for fully benefit-responsive investment contracts. Contract value is the relevant measure for the portion of the net assets available for benefits of a defined contribution plan attributable to fully benefit-responsive investment contracts because contract value is the amount participants normally would receive if they were to initiate permitted transactions under the terms of the Plan.

Use of Estimates

The preparation of financial statements in accordance with GAAP requires management to make estimates and assumptions that affect the reported amounts of net assets available for benefits at the date of the financial statements and the reported amounts of changes in net assets available for benefits during the reporting period. Actual results could differ from those estimates.

Recently Adopted Accounting Pronouncements

The Company has determined that there have been no recently adopted or issued accounting standards that had, or will have, a material impact on the financial statements.

Investment Valuation and Income Recognition

The Plan's and Master Trust's investments are stated at fair value except for fully benefit-responsive investment contracts which are reported at contract value. Fair value of a financial instrument 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. The Investment Committee determines the Plan's and Master Trust's valuation policies utilizing information provided by the investment advisors, custodians, and insurance companies. See Note 4 for a discussion of fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation in fair value of investments and Plan's interest in Master Trust investment income include the gains and losses on investments bought and sold as well as held during the year.

Notes Receivable from Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Delinquent participant loans are reclassified as benefits paid to participants based upon the terms of the Plan document. No allowance for credit losses has been recorded as of December 31, 2020 and 2019.

Administrative Expenses

Certain administrative expenses of the Plan are paid by the Company as provided in the Plan document. Expenses that are paid by the Company are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are

included in administrative expenses. Investment-related expenses are included in the net appreciation in fair value of investments and Plan's interest in Master Trust investment income.

Payment of Benefits

Benefit payments to participants are recorded upon distribution. There are no amounts owed to participants who had elected to withdraw from the Plan, but had not been paid as of December 31, 2020 or 2019.

Subsequent Events

Subsequent events were evaluated through June 17, 2021, the date the financial statements were available to be issued. Between January 1, 2021 and June 17, 2021, the Riverside Physician Network 401(k) Plan, the Equian LLC 401(k) Retirement Savings Plan, the Urgent Care MSO, LLC 401(k) Plan, and the USHEALTH Administrators, LLC 401(k) Plan merged into the Plan.

3. PLAN'S INTEREST IN MASTER TRUST

The investments held in the Master Trust represent the participant-directed investments of the Participating Plans. Each Participating Plan has a divided interest in specific investment assets held in the Master Trust. The value of each Participating Plan's interest in the Master Trust is based on the beginning of the year value of each plan's interest in the Master Trust balance plus actual contributions and allocated investment income less actual distributions and allocated administrative expenses. Investment income and administrative expenses relating to the Master Trust are allocated to each Participating Plan based upon each plan's relative interest in the assets held in the Master Trust.

The following tables present the net assets of the Master Trust and the Plan's interest as of December 31, 2020 and 2019.

(in thousands)	2020	
	Master Trust Balances	Plan's Interest in Master Trust Balances
Cash and cash equivalents	\$ 68,525	\$ 62,020
Debt securities:		
U.S. government and agencies	217,540	197,236
Corporate and other	344,582	312,420
Mutual funds	758,184	698,129
Common stock	1,552,064	1,375,203
Common collective trusts	13,844,595	12,446,410
Total investments - at fair value	16,785,490	15,091,418
Stable value investment fund (Note 5)	896,652	820,064
Total investments	17,682,142	15,911,482
Accrued income	41,464	37,574
Accrued liabilities	(74,467)	(67,485)
Total net assets	\$ 17,649,139	\$ 15,881,571

(in thousands)	2019	
	Master Trust Balances	Plan's Interest in Master Trust Balances
Cash and cash equivalents	\$ 50,533	\$ 45,343
Debt securities:		
U.S. government and agencies	256,769	233,242
Corporate and other	243,779	221,441
Mutual funds	657,630	606,873
Common stock	1,305,220	1,158,156
Common collective trusts	11,864,859	10,763,570
Total investments - at fair value	14,378,790	13,028,625
Stable value investment fund (Note 5)	703,203	646,731
Total investments	15,081,993	13,675,356
Accrued income	6,072	5,500
Accrued liabilities	(10,120)	(9,171)
Total net assets	\$ 15,077,945	\$ 13,671,685

Due to external investment management of the funds, the Master Trust may buy, sell or hold the common stock of the Company. As of December 31, 2020 and 2019, the Master Trust held 47,023 and 47,657 shares of the Company through external investment management of the funds with a cost basis of \$8,553,246 and \$8,668,568, respectively.

The Master Trust had the following investment income for the year ended December 31, 2020.

(in thousands)	2020
	Master Trust Balances
Net appreciation in fair value of investments	\$ 2,188,599
Interest and dividends	6,003
Total investment income	\$ 2,194,602
Plan's interest in Master Trust investment income	\$ 1,976,544

4. FAIR VALUE MEASUREMENT

The framework for measuring fair value provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). The three levels of the fair value hierarchy are described as follows:

Level 1 - Unadjusted quoted prices for identical assets in active markets that the Plan or Master Trust can access.

Level 2 - Inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly, such as:

- quoted prices for similar assets or liabilities in active markets;

- quoted prices for identical or similar assets or liabilities in inactive markets;
- inputs other than quoted prices that are observable for the asset or liability;
- inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3 - Unobservable inputs for the asset.

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2020.

Cash and cash equivalents: The carrying value of the cash and cash equivalents approximates fair value as maturities are less than three months.

Common stock: Valued at the closing price reported on the active market on which the individual securities are traded.

Common collective trusts: Valued at the net asset value ("NAV") of units of a bank collective trust. The NAV, as provided by the Trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the trust less its liabilities. This practical expedient is not used when it is determined to be probable that the trust will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily. Were the Master Trust to initiate a full redemption of the collective trusts, the investment advisor reserves the right to temporarily delay the withdrawal from the trust in order to ensure that securities liquidations will be carried out in an orderly business manner.

Debt securities: Fair value of debt securities is based on quoted market prices, where available. A price is obtained for each security primarily from a third-party pricing service ("pricing service"), which generally uses quoted or other observable inputs for the determination of fair value. The pricing service normally derives the security prices through recently reported trades for identical or similar securities, and, if necessary, makes adjustments through the reporting date based upon available observable market information. For securities not actively traded, the pricing service may use quoted market prices of comparable instruments or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include, but are not limited to, benchmark yields, credit spreads, default rates, prepayment speeds, and nonbinding broker quotes.

Fair values of debt securities that do not trade on a regular basis in active markets but are priced using other observable inputs are classified as Level 2.

Mutual funds: Valued at the daily closing price reported by the fund. Mutual funds held by the Master Trust are open-end mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily NAV and to transact at that price. The mutual funds held by the Master Trust are deemed to be actively traded.

Self-directed brokerage accounts: The self-directed brokerage account allows participants the opportunity to invest in a wide array of individual securities including stocks, corporate bonds, zero-coupon bonds, U.S. Treasury securities, mortgage securities and U.S. government agency bonds, certificates of deposit, unit investment trusts, foreign securities, exchange-traded funds, and mutual funds, which are primarily valued using the methodologies described above for the Master Trust's investments in similar securities.

The following tables set forth by level within the fair value hierarchy a summary of the Plan's interest in Master Trust and Plan's investments measured at fair value on a recurring basis at December 31, 2020 and 2019.

(in thousands)	Fair Value Measurements at December 31, 2020		
	Quoted Prices in Active Markets (Level 1)	Other Observable Inputs (Level 2)	Total Fair Value
Cash and cash equivalents	\$ 67,217	\$ —	\$ 67,217
Debt securities:			
U.S. government and agencies	61,492	135,744	197,236
Corporate and other	—	312,420	312,420
Mutual funds	698,129	—	698,129
Self-directed brokerage accounts	505,441	6,011	511,452
Common stock	1,812,221	—	1,812,221
Total assets in the fair value hierarchy	<u>\$ 3,144,500</u>	<u>\$ 454,175</u>	<u>3,598,675</u>
Instruments measured at NAV			<u>12,446,410</u>
Total investments at fair value			<u>\$ 16,045,085</u>

(in thousands)	Fair Value Measurements at December 31, 2019		
	Quoted Prices in Active Markets (Level 1)	Other Observable Inputs (Level 2)	Total Fair Value
Cash and cash equivalents	\$ 50,736	\$ —	\$ 50,736
Debt securities:			
U.S. government and agencies	92,507	140,735	233,242
Corporate and other	—	221,441	221,441
Mutual funds	606,873	—	606,873
Self-directed brokerage accounts	296,949	7,148	304,097
Common stock	1,563,551	—	1,563,551
Total assets in the fair value hierarchy	<u>\$ 2,610,616</u>	<u>\$ 369,324</u>	<u>2,979,940</u>
Instruments measured at NAV			<u>10,763,570</u>
Total investments at fair value			<u>\$ 13,743,510</u>

Investments Measured Using the NAV Per Share Practical Expedient

The following table summarizes investments for which fair value is measured using the NAV per share practical expedient as of December 31, 2020 and 2019.

Investment	Fair Value ⁽¹⁾	Unfunded Commitment	Redemption Frequency⁽²⁾	Redemption Notice Period⁽³⁾⁽⁴⁾
	(in thousands)	(in thousands)		
December 31, 2020				
Common collective trusts	\$ 12,446,410	\$ —	Immediate	Various
December 31, 2019				
Common collective trusts	\$ 10,763,570	\$ —	Immediate	Various

(1) The fair value of investments are based on the fair values of the underlying investments in the funds.

(2) Certain events may cause funds held in the common collective trusts to be deferred, including, but not limited to, the following:

- (i) Closing or disruption of the financial markets or exchanges in which a transaction is unable to be settled prudently.
- (ii) An emergency situation in which the disposition of assets would be seriously prejudicial to Master Trust participants.
- (iii) Breakdown in the means of communication normally employed to determine fair market value of an investment.
- (iv) Investments cannot be effected at normal rates of exchange.

None of these events occurred in 2020 and 2019.

(3) Certain common collective trusts require redemption notice periods for plan withdrawals at the discretion of the investment advisor.

(4) Certain common collective trusts require redemption notice periods for participant withdrawals at the discretion of the investment advisor.

5. FULLY BENEFIT-RESPONSIVE INVESTMENT CONTRACTS

The Master Trust provides a stable value investment fund to participants that is comprised of a separate account guaranteed investment contract and four security-backed investment contracts. These contracts meet the fully benefit-responsive investment contract criteria and, therefore, are reported at contract value. Contract value represents contributions made under each contract, plus earnings, less participant withdrawals, and expenses. The following represents the disaggregation of contract value between types of investment contracts held by the Master Trust.

(in thousands)	2020	2019
Security-backed investment contracts	\$ 709,939	\$ 556,752
Separate account guaranteed investment contract	186,713	146,451
Total stable value investment fund	<u>\$ 896,652</u>	<u>\$ 703,203</u>
Plan's interest in stable value investment fund	<u>\$ 820,064</u>	<u>\$ 646,731</u>

Security-backed investment contracts and separate account guaranteed investment contracts are issued by insurance companies or other financial institutions, backed by a portfolio of fixed income funds and pooled separate accounts. The portfolio is either owned directly by 1) the Master Trust (security-backed investment

contract) or 2) owned by the contract issuer and segregated in a separate account for the benefit of the Master Trust (separate account guaranteed investment contract). The issuer guarantees that all qualified participant withdrawals will be at contract value and that the crediting rate applied will not be less than 0%. Cash flow volatility (for example, timing of benefit payments) as well as asset underperformance can be passed through to the Master Trust through adjustments to future contract crediting rates. Crediting rates are typically reset quarterly to account for the difference between the contract value and the fair value of the underlying portfolio.

Risks arise when entering into any investment contract due to the potential inability of the issuer to meet the terms of the contract. In addition, security-backed investment contracts and separate account guaranteed investment contracts have the risk of default or lack of liquidity of the underlying portfolio assets. The credit risk of each issuer is evaluated and monitored through the portfolio manager's credit analysis. The credit analysis includes, but is not limited to, asset quality and liquidity, management quality, surplus adequacy, and profitability. The Master Trust requires that the issuers of each contract have a minimum quality rating as of the contract effective date and that all underlying portfolio assets be rated investment grade at the time of purchase.

Security-backed investment contracts and separate account guaranteed investment contracts generally are automatically renewing contracts that contain termination provisions, allowing the Master Trust or the contract issuer to terminate with notice, at any time, at fair value, and providing for automatic termination of the contract if the contract value or the fair value of the underlying portfolio equals zero. The issuer is obligated to pay the excess contract value when the fair value of the underlying portfolio equals zero.

In addition, if the Master Trust defaults on its obligations under the contract (including the issuer's determination that the agreement constitutes a nonexempt prohibited transaction as defined by ERISA), and such default is not corrected within the time permitted by the contract, then the contract may be terminated by the issuer and the Master Trust will receive the fair value as of the date of termination. Each contract recognizes certain "events of default" which can invalidate the contract's coverage. Among these are investments outside of the range of instruments which are permitted under the investment guidelines contained in the investment contract, fraudulent or other material misrepresentations made to the issuer, changes in control of the investment adviser not approved by the contract issuer, changes in certain key regulatory requirements, or failure of the Master Trust to be tax qualified.

Certain events might limit the ability of the Master Trust to transact at contract value with the contract issuer. Withdrawals associated with these events, which are not in the ordinary course of the Master Trust operations, are paid with a market value adjustment applied to the withdrawal as defined in the investment contract. These events may be different under each contract. Examples of such events include the following:

- Material amendments to the Master Trust's structure of administration;
- Failure of the Master Trust to qualify under Section 401(a) of the Code or the failure of the Master Trust to be tax- exempt under Section 501(a) of the Code;
- Premature termination of the contracts;
- Complete or partial termination of the Master Trust, including a merger within another plan;

- Redemption of all or a portion of the interests in the Master Trust at the direction of the Company, including withdrawals due to the removal of a specifically identifiable group of employees from coverage under the Master Trust (such as a group layoff or early retirement incentive program), the closing or sale of a subsidiary, employing unit or affiliate, or the Company's establishment of another tax qualified defined contribution plan;
- Changes to the Master Trust's prohibition on competing investment options; and
- Bankruptcy of the Company or other company events (for example, divestitures or spinoffs of a subsidiary) that significantly affect the Master Trust's normal operations.

No events are probable of occurring that might limit the ability of the Master Trust to transact at contract value with the contract issuers and that also would limit the ability of the Master Trust to transact at contract value with the participants.

6. PLAN TERMINATION

Although it has not expressed any intention to do so, the Company has the right to discontinue contributions or to amend or terminate the Plan at any time. In the event of the Plan's termination, participants' accounts would become 100% vested and the Company could direct either the current distribution of the assets or the continuation of the trust, in which case distribution of the benefits would occur in accordance with the terms of the Plan.

7. FEDERAL INCOME TAX STATUS

The Internal Revenue Service (IRS) has determined and informed the Company by a letter dated May 3, 2016, that the Plan and related trust are designed in accordance with applicable sections of the Code. Although the Plan has been amended since receiving the determination letter, the Plan Administrator and the Plan's tax counsel believe that the Plan is designed in compliance with the applicable requirements of the Code.

GAAP requires 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. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

8. EXEMPT PARTY-IN-INTEREST TRANSACTIONS

The investment of the Plan in the Company's common stock is considered an exempt party-in-interest transaction. At December 31, 2020 and 2019, the Plan held 1,246,202 and 1,378,987 shares of common stock of the Company in the Stock Fund with a cost basis of \$39,530,564 and \$43,742,614, respectively. The Plan issues loans to participants, which are secured by the participant's account balances. These transactions qualify as exempt party-in-interest transactions.

9. RISKS AND UNCERTAINTIES

The Plan provides for investment in a variety of investment securities. Investments, in general, are exposed to various risks, such as interest rate risk, credit risk, and overall market volatility. Due to the level of risk associated with certain investments, it is reasonably possible that changes in the values of the investments will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

10. PLAN TRANSFERS

During 2020, Genoa Healthcare, LLC 401(k) Plan, hCentive 401(k) Profit Sharing Plan, and Vivify Health 401(k) Plan merged into the Plan.

11. RECONCILIATION TO THE FORM 5500

Reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2020 and 2019, is as follows:

(in thousands)	2020	2019
Net assets available for benefits per the financial statements	\$ 17,194,766	\$ 14,764,345
Deemed distributions of participant loans	(773)	(594)
Net assets available for benefits per the Form 5500	<u>\$ 17,193,993</u>	<u>\$ 14,763,751</u>

A reconciliation of the increase in net assets available for benefits per the financial statements to the net income per the Form 5500 for the year ended December 31, 2020 is as follows:

(in thousands)	2020
Increase in net assets available for benefits per the financial statements.....	\$ 2,430,421
Deemed distributions activity	(179)
Net income per the Form 5500	<u>\$ 2,430,242</u>

**SUPPLEMENTAL SCHEDULE
FURNISHED PURSUANT TO THE
REQUIREMENTS OF FORM 5500**

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN
(EIN 41-1321939, PLAN # 001)

FORM 5500, SCHEDULE H, Part IV, LINE 4I — SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2020 (in thousands)

		<u>Current Value</u>
UnitedHealth Group Inc. common stock*	\$	437,018
Self-directed brokerage accounts**		511,452
Fidelity institutional cash - U.S. government fund*		5,197
Participant loans (interest ranging from 3.25% to 10.25% and maturity dates ranging from January 2021 - October 2049)*		358,755
Total investments	\$	<u>1,312,422</u>

*Known party-in-interest

**Certain investments in the self-directed brokerage accounts are issued by a party-in-interest

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). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 2020 This Form is Open to Public Inspection
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Part I Annual Report Identification Information	
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>	
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.) ☒ a single-employer plan ☐ a DFE (specify) _____ B This return/report is:
	☐ the first return/report ☐ the final return/report ☐ an amended return/report ☐ a short plan year return/report (less than 12 months) C If the plan is a collectively-bargained plan, check here. ☒
D Check box if filing under:	
☐ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)	

Part II Basic Plan Information—enter all requested information					
1a Name of plan UnitedHealth Group 401(k) Savings Plan	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;">001</td> </tr> <tr> <td colspan="2">1c Effective date of plan 07/01/1985</td> </tr> </table>	1b Three-digit plan number (PN) ▶	001	1c Effective date of plan 07/01/1985	
1b Three-digit plan number (PN) ▶	001				
1c Effective date of plan 07/01/1985					
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) UnitedHealth Group Incorporated 9900 Bren Road East MN008-R120 Minnetonka MN 55343	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) 41-1321939</td> </tr> <tr> <td>2c Plan Sponsor's telephone number 952-936-1300</td> </tr> <tr> <td>2d Business code (see instructions) 541990</td> </tr> </table>	2b Employer Identification Number (EIN) 41-1321939	2c Plan Sponsor's telephone number 952-936-1300	2d Business code (see instructions) 541990	
2b Employer Identification Number (EIN) 41-1321939					
2c Plan Sponsor's telephone number 952-936-1300					
2d Business code (see instructions) 541990					

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		<u>6.22.21</u>	David E. Strauss
	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

3a Plan administrator's name and address ☐ Same as Plan Sponsor UnitedHealth Group Employee Benefits Plans Administrative Committee UnitedHealth Group Incorporated 9900 Bren Road East MN008-R120 Minnetonka MN 55343		3b Administrator's EIN 41-1321939 3c Administrator's telephone number 952-936-1300
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN
5 Total number of participants at the beginning of the plan year	5	200,119
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)	153,274
a(2) Total number of active participants at the end of the plan year	6a(2)	157,242
b Retired or separated participants receiving benefits	6b	306
c Other retired or separated participants entitled to future benefits	6c	49,643
d Subtotal. Add lines 6a(2), 6b, and 6c	6d	207,191
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits	6e	256
f Total. Add lines 6d and 6e	6f	207,447
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	6g	200,306
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	6h	3,192
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 2R 2S 2T 3H b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:		
9a Plan funding arrangement (check all that apply) (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) ☐ 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 2020 Form M-1 annual report. If the plan was not required to file the 2020 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 _____

Brokerage Link Indirect Fees

The listing below includes the indirect fee's associated with the Brokeragelink Account.

PLAN EIN / Plan Number: 41-1321939 / 001
DATA AS OF:

UnitedHealth Group 401k Savings Plan
12/31/2020

Plan Number	Payor Name	Compensation	Address Type	Street Address	City	State	Zip	Fund Family	CUSIP
32057	INVESCO DIVERSIFIED DIVIDEND CLASS A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	001413541
32057	INVESCO FLOATING RATE ESG CLASS A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00141A867
32057	INVESCO EMERGING MARKETS ALL CAP Y	0.10%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00141V838
32057	INVESCO DIVIDEND INCOME FUND A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00142F535
32057	INVESCO EQUALLY WEIGHTED S&P 500 A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00142J818
32057	INVESCO STEELPATH MLP SELECT 40 Y	0.15%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143K251
32057	INVESCO STEELPATH MLP SELECT 40 A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143K277
32057	INVESCO INTL BOND A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143K673
32057	INVESCO GOLD & SPEC MINERALS A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143N750
32057	INVESCO DEVELOPING MARKETS A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143W701
32057	INVESCO DEVELOPING MARKETS Y	0.15%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143W875
32057	AMG GW&K SMALL/MID CAP FUND CLASS I	0.07%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K349
32057	AMG SOUTHERNSUN SMALL-CAP N	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K554
32057	AMG YACKTMAN FOCUSED I	0.07%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K562
32057	AMG YACKTMAN FOCUSED N	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K570
32057	AMG YACKTMAN FUND I	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K588
32057	AMG TIMESSQUARE INTERNL SMALLCAP N	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K711
32057	AMG MANAGERS LMCG SMCAP GROWTH CLASS N	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00171A647
32057	AMG MANAGERS DOUBLE CORE PLUS BOND N	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00171A779
32057	AMG RIVER ROAD SMALLMID CAP VALUE CL N	0.40%	USADDRESS	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00171A886
32057	AQR LARGE CAP DEFENSIVE STYLE CL N	0.40%	USADDRESS	1 GREENWICH PLAZA	GREENWICH	CT	06830	AQR FUNDS	00203H750
32057	AQR MANAGED FUTURES FUND CL I	0.10%	USADDRESS	1 GREENWICH PLAZA	GREENWICH	CT	06830	AQR FUNDS	00203H859
32057	ABERDEEN U.S. SMALL CAP EQUITY FD CL A	0.40%	USADDRESS	1735 MARKET STREET, 32ND FLOOR	PHILADELPHIA	PA	19103	ABERDEEN FUNDS	00302W716
32057	CAMBIAR INTL EQUITY INVESTOR CL	0.40%	USADDRESS	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456	CAMBIAR FUNDS	00758M139
32057	LSV VALUE EQUITY INSTITUTIONAL	0.12%	USADDRESS	155 N. WACKER DR, STE 4600	CHICAGO	IL	60606	LSV FUNDS	00758M634
32057	WESTWOOD LARGECAP VALUE INSTL CLASS	0.15%	USADDRESS	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456	WESTWOOD FUNDS	0075W0734
32057	EDGEWOOD GROWTH FUND RETAIL CLASS	0.40%	USADDRESS	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456	EDGEWOOD	0075W0742
32057	ADVISORONE CLS GLOBLDIVERIFIED EQUITY N	0.40%	USADDRESS	17605 WRIGHT STREET	OMAHA	NE	68130	ADVISOR ONE FUNDS	00764F201
32057	ADVISORONE CLS GROWTH AND INC CL N	0.40%	USADDRESS	17605 WRIGHT STREET	OMAHA	NE	68130	ADVISOR ONE FUNDS	00764F300
32057	ADVISORONE CLS SHELTER CL N	0.40%	USADDRESS	17605 WRIGHT STREET	OMAHA	NE	68130	ADVISOR ONE FUNDS	00764F433
32057	ADVISORONE CLS GLOBLAGGRESSIVE EQUITY N	0.40%	USADDRESS	17605 WRIGHT STREET	OMAHA	NE	68130	ADVISOR ONE FUNDS	00764F441
32057	ADVISORONE CLS FLEXIBLE INC CL N	0.40%	USADDRESS	17605 WRIGHT STREET	OMAHA	NE	68130	ADVISOR ONE FUNDS	00764F458
32057	CHAMPLAIN MID CAP CLASS I	0.12%	USADDRESS	ONE FREEDOM VALLEY DRIVE	OAKS	PA	19456	CHAMPLAIN FUNDS	00766Y513
32057	LSV SMALL CAP VALUE FUND INSTITUTIONAL	0.12%	USADDRESS	155 N. WACKER DR, STE 4600	CHICAGO	IL	60606	LSV FUNDS	00769G535
32057	JOHCM INTERNATIONAL SELECT FD CL II	0.40%	FOREIGNADDRESS	14 RYDER STREET, RYDER COURT, GROUND FLOOR	LONDON	GB	SW1Y 6QB	JOHCM FUNDS	00770G839
32057	SEMPER MBS TOTAL RETURN INVESTOR	0.40%	USADDRESS	52 VANDERBILT AVE. SUITE 401	NEW YORK	NY	10017	SEMPER FUNDS	00770K741
32057	ADV PREFERRED GOLD BULLION STRAT INV	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F202
32057	ADVISORS PRFD QANFDMANAGED INCOME INVST	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F400
32057	ADVISORS PRFD QANFDMARKET LEADERS INVST	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F600
32057	QUANTIFIED COMMON GROUND FD INVST	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F632
32057	QUANTIFIED EVOLUTION PLUS INVST	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F665
32057	QUANTIFIED TACTICAL FIXED INC INVST	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F673
32057	ADVISORS PREFERRED QUANTIFIED STF INVST	0.40%	USADDRESS	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F749
32057	GQG PARTNERS EMERG MARKETS EQ INSTL	0.15%	USADDRESS	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456	GQG PARTNERS FUND	00771LX49
32057	HUBER CAPITAL SMALL CAP VALUE INVESTOR	0.40%	USADDRESS	2321 ROSECRANS AVE., SUITE 3245	EL SEGUNDO	CA	90245	HUBER FUNDS	007989379
32057	INVESCO GLOBAL A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00900W100
32057	INVESCO INTL SMALL MID COMPANY A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00900W571
32057	INVESCO GLOBAL OPPORTUNITIES A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00900W779
32057	ALGER MID CAP FOCUS CL I	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER INSTITUTIONAL	015655179
32057	ALGER SMALL CAP FOCUS CLASS A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015655450
32057	ALGER WEATHERBIE SPECIALIZED GR A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015655732
32057	ALGER HEALTH SCIENCES FD CL A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015655765
32057	ALGER SMALL CAP GROWTH FUND A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015655872
32057	ALGER SPECTRA FUND CLASS CL A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015656102
32057	ALGER SMALL CAP GROWTH INSTL FD CL I	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER INSTITUTIONAL	015570104
32057	AB ALL MARKET REAL RETURN PORT ADV	0.10%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	018528422
32057	AB HIGH INCOME CLASS A	0.10%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01859M101
32057	AB HIGH INCOME ADVISOR	0.10%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01859M408
32057	AB LARGE CAP GROWTH CLASS A	0.40%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877C101
32057	AB SMALL CAP GROWTH PORT CLASS A	0.40%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877E107
32057	AB SMALL CAP GROWTH PORT ADVISOR CLASS	0.15%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877E503
32057	IMAN FUND RETAIL SHARES	0.40%	USADDRESS	721 ENTERPRISE DRIVE	OAKBROOK	IL	60523	IMAN FUND	018866103
32057	ALLIANZGI MID CAP VALUE CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	ALLIANZ FUNDS	018918649
32057	ALLIANZGI CONVERTIBLE INST	0.10%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	ALLIANZ FUNDS	01900C649
32057	SEVEN CANYONS WORLD INNOVATORS INVESTOR	0.40%	USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	SEVEN CANYONS FUNDS	02110A571
32057	AMANA MUTUAL FUND TRUST INCOME	0.40%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865109
32057	AMANA MUTUAL FUND TRUST GROWTH	0.40%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865208
32057	AMANA DEVELOPING WORLD FUND	0.40%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865307
32057	AMANA INCOME FUND INSTITUTIONAL	0.10%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865406
32057	AMANA GROWTH FUND INSTITUTIONAL	0.15%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865505
32057	AMANA PARTICIPATION FD INVESTOR CLASS	0.40%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865703
32057	AMERICAN AMCAP FUND CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	023375405
32057	AMERICAN AMCAP FUND F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	023375827
32057	AMERICAN BEACON MID CAP INVESTOR	0.40%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02368A299
32057	AMERICAN BEACON SMALL CAP INVESTOR	0.40%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02368A620
32057	AMERICAN BEACON INTL EQUITY INVESTOR	0.40%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02368A794
32057	AMERICAN BALANCED CLASS A	\$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	024071102
32057	AMERICAN BALANCED CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	024071409
32057	AMER BEACON BRDGYWAY LARGE CAP VAL INVST	0.40%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02452A118
32057	AMERICAN BEACON SIM HIGH YLD OPPS INVEST	0.40%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02452A274
32057	AMER BEACON BRDGYWAY LRG CAP GRWTH R5	0.04%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024525370
32057	AMERICAN BEACON ARK TRANS INNOVTN INVSTR	0.40%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024526204
32057	AMERICAN BEACON THE LONDON CO INC EQ Y	0.10%	USADDRESS	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024527301
32057	AMERICAN CEN SHT DURNFL PROTECTN BD INV	0.25%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	024932774
32057	AVANTIS US SMALL CAP VALUE FUND	0.04%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025072828
32057	AMERICAN CENTURY EQUITY INCOME INV CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076100
32057	AMERICAN CENTURY VALUE INV CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076506
32057	AMERICAN CENTURY MID CAP VALUE CLASS I	0.07%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076647
32057	AMERICAN CENTURY MIDCAP VALUE INV SHS	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076654
32057	AMERICAN CENTURY SMLCAP VAL CLASS I	0.15%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076845
32057	AMERICAN CENTURY REAL ESTATE INV CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076886
32057	AMERICAN CENTURY CHGAL GOLD INV CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	02507M105
32057	AMERICAN CENTURY GROWTH INVESTOR CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025083106
32057	AMERICAN CENTURY ULTRA CLASS I	0.15%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025083874
32057	AMERICAN CENTURY ULTRA INVESTOR CLASS	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025083882
32057	AMERICAN CENTURY INTL GROWTH INV CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086109
32057	AMERICAN CENTURY INTL OPP. FUND INV CL	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086745
32057	AMERICAN CENTURY EMERGING MRKTS CL I	0.15%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086877
32057	AMERICAN CENTURY EMERGING MARKETS INV	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086885
32057	AMERICAN CENTURY SUSTAINABLE EQ INV	0.35%	USADDRESS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	02508H600
32057	AMERICAN CORPORATE BOND FUND CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02629H406

32057	AMERICAN FUNDS INFLINKED BOND CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	026300402
32057	AMERICAN FUNDS INFLINKED BOND CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	026300501
32057	AMERICAN 2045 TARGETDATE RETIREMENT CL A	\$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	0263007514
32057	AMERICAN FUNDS MORTGAGE CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	026300402
32057	AMERICAN FDS TAX AWRCONS GR AND INC F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	026300588
32057	AMERICAN 2045 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C643
32057	AMERICAN 2040 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C684
32057	AMERICAN 2035 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C734
32057	AMERICAN 2030 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C775
32057	AMERICAN STRATEGIC BOND FUND F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631E409
32057	AMERICAN HIGH INCOMELCLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	026547406
32057	ANGEL OAK MULTI STRATEGY INCOME CL A	0.10%	USADDRESS	400 CITY CENTER (MK-WI-CCCL)	OSHKOSH	WI	54901	ANGEL OAK FUNDS	03463K307
32057	ANGEL OAK MULTI STRATEGY INC INSTL	0.15%	USADDRESS	400 CITY CENTER (MK-WI-CCCL)	OSHKOSH	WI	54901	ANGEL OAK FUNDS	03463K406
32057	ARIEL APPRECIATION	0.40%	USADDRESS	811 E. WISCONSIN AVENUE. MK-WI-J8NF	MILWAUKEE	WI	53202	ARIEL MUTUAL FUNDS	040337206
32057	ARIEL INTERNATIONAL FUND INVESTOR	0.40%	USADDRESS	811 E. WISCONSIN AVENUE. MK-WI-J8NF	MILWAUKEE	WI	53202	ARIEL MUTUAL FUNDS	040337883
32057	ARROW MANAGED FUTURES STRATEGY C	0.10%	USADDRESS	6100 CHEVY CHASE DR, STE 100	LAUREL	MD	20707	ARROW	042765867
32057	ARTISAN SMALL CAP FUND INVESTOR CL	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H105
32057	ARTISAN INTERNATL INVESTOR CLASS	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H204
32057	ARTISAN INTL SMALL MID FUND ADVISOR	0.10%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H485
32057	ARTISAN THEMATIC FD INVESTOR CLASS	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H543
32057	ARTISAN DEVELOPING WORLD FD ADVISOR CL	0.10%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H618
32057	ARTISAN DEVELOPING WORLD FD INVESTOR CL	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H626
32057	ARTISAN HIGH INCOME FUND INVESTOR	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H725
32057	ARTISAN GLOBAL OPPORTUNITIES INV	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H824
32057	ARTISAN GLOBAL VALUE FD INVT SHARES	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H840
32057	ARTISAN INTL VALUE FUND INV CL	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H881
32057	AZZAD ETHICAL MID CAP FUND CL A	0.40%	USADDRESS	8000 TOWN CENTRE DR STE 400	BROADVIEW HEIGHTS	OH	441474031	AZZAD FUNDS	055060206
32057	WISE CAPITAL FUND	0.40%	USADDRESS	8000 TOWN CENTRE DR STE 400	BROADVIEW HEIGHTS	OH	441474031	AZZAD FUNDS	055060305
32057	BBH LIMITED DURATIONFUND CLASS N	0.15%	USADDRESS	140 BROADWAY	NEW YORK	NY	10005	BBH FUNDS	05528X802
32057	BNY MELLON OPPORT MIDCAP VALUE A	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556	DREYFUS GROUP	05587N646
32057	BNY MELLON GLOBAL REAL RETURN A	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556	DREYFUS GROUP	05587N844
32057	BNY MELLON ULTRA SHORT INCOME Z	0.35%	USADDRESS	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556	DREYFUS GROUP	05588T105
32057	BNY MELLON APPRECIATION INVSTR	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556	DREYFUS GROUP	05589Q100
32057	BAIRD MID CAP INSTL CLASS SHS	0.06%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071813
32057	BAIRD AGGREGATE BOND FUND INSTL	0.02%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071854
32057	BAIRD AGGREGATE BOND FUND INVESTOR CL	0.28%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071862
32057	BAIRD CORE PLUS BOND FD INVESTOR CL	0.28%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071888
32057	BARON ASSET	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	068278100
32057	BARON OPPORTUNITY FUND	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	068278407
32057	BARON OPPORTUNITY FUND INSTL CLASS	0.10%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	068278886
32057	BARON PARTNERS FUND	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M108
32057	BARON FOCUSED GROWTH FUND	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M207
32057	BARON WEALTHBUILDER FUND RETAIL	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M710
32057	BARON GLOBAL ADVANTAGE FD RETAIL	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M843
32057	BARON EMERGING MARKETS FUND RETAIL	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M884
32057	BERKSHIRE FOCUS FUND	0.40%	USADDRESS	475 MILAN DRIVE SUITE 103	SAN JOSE	CA	95134	BERKSHIRE FUNDS	084649102
32057	BLACKROCK MID CAP GROWTH EQUITY CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091928846
32057	BLACKROCK MID CAP GROWTH EQUITY INSTL	0.15%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091928861
32057	BLACKROCK TECHNOLOGY OPPORTUNITIES CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091929570
32057	BLACKROCK ADVANTAGE SMALL CAP CORE INV A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091936476
32057	BLACKROCK MANAGED INCOME INVESTOR A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091937219
32057	BLACKROCK HEALTH SCIENCES OPP PRT A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091937573
32057	BLACKROCK EQUITY DIVIDEND FD CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09251M108
32057	BLACKROCK GLOBAL ALLOCATION CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09251T103
32057	BLACKROCK TOTAL RETURN INSTITUTIONAL	0.15%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09252M883
32057	BLACKROCK STRATEGIC GLOBAL BD INVESTOR A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09252X103
32057	BLACKROCK MULTI ASSET INCOME PORT A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09256H351
32057	BLACKSTONE ALTRVY MULTI STRATEGY CL D	0.40%	USADDRESS	345 PARK AVENUE	NEW YORK	NY	10154	BLACKSTONE FUNDS	09257V300
32057	BLACKROCK STRATEGIC INC OPP PORT CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B416
32057	BLACKROCK HIGH YIELD BOND CLASS A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B663
32057	BLACKROCK SYSTEMATIC MULTI STRAT INV A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09260C109
32057	WILLIAM BLAIR SMALL MID CAP GROWTH CL N	0.40%	USADDRESS	222 WEST ADAMS STREET, 12TH FLOOR	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	093001345
32057	WILLIAM BLAIR LARGE CAP GROWTH FD N	0.40%	USADDRESS	222 WEST ADAMS STREET, 12TH FLOOR	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	093001535
32057	WILLIAM BLAIR SMALL CAP VALUE CLASS N	0.40%	USADDRESS	222 WEST ADAMS STREET, 12TH FLOOR	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	093001600
32057	BMO EMERGING MARKETS EQ CL I	0.12%	USADDRESS	111 EAST KILBOURN AVENUE, SUITE 200	MILWAUKEE	WI	53202	MARSHALL FUNDS	09658L489
32057	BMO CORPORATE INCOME FUND CL Y	0.35%	USADDRESS	111 EAST KILBOURN AVENUE, SUITE 200	MILWAUKEE	WI	53202	MARSHALL FUNDS	09658L851
32057	BNY MELLON SMALLCAP STOCK INDEX INVESTOR	0.35%	USADDRESS	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556	DREYFUS GROUP	09661A101
32057	FPA QUEENS ROAD SMALL CAP VALUE FUND	0.40%	USADDRESS	11601 WILSHIRE BLVD, SUITE 1200	LOS ANGELES	CA	90025	FPA FUNDS	104826201
32057	BRIDGEWAY OMNI SMALL CAP VALUE	0.06%	USADDRESS	20 GREENWAY PLAZA, STE 450	HOUSTON	TX	77046	BRIDGEWAY FUNDS	108747775
32057	BROWN ADVISORY SUSTAIN GROWTH ADV	0.40%	USADDRESS	777 E. WISCONSIN AVE, 4TH FLOOR	MILWAUKEE	WI	53202	BROWN IA FUNDS	115233405
32057	BROWN ADVISORY SMALL CAP FNDMTL VAL INVS	0.08%	USADDRESS	777 E. WISCONSIN AVE, 4TH FLOOR	MILWAUKEE	WI	53202	BROWN IA FUNDS	115233793
32057	BROWN INTERNATIONAL SMALL COMPANY INVEST	0.40%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	BROWN CAPITAL MANAGEMENT	115291742
32057	BROWN INTERNATIONAL SMALL COMPANY INSTL	0.10%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	BROWN CAPITAL MANAGEMENT	115291759
32057	BUFFALO FLEXIBLE INCOME FUND	0.40%	USADDRESS	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202	BUFFALO FUNDS	119428100
32057	BUFFALO DISCOVERY FUND	0.40%	USADDRESS	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530103
32057	BUFFALO MID CAP FUND	0.40%	USADDRESS	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530202
32057	BUFFALO EMERGING OPPORTUNITIES FUND	0.40%	USADDRESS	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530301
32057	BUFFALO SMALL CAP GROWTH	0.40%	USADDRESS	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202	BUFFALO FUNDS	119804102
32057	CALAMOS MARKET NEUTRAL INCOME CL A	0.40%	USADDRESS	2020 CALAMOS COURT	NAPERVILLE	IL	60563	CALAMOS FAMILY OF MUTUAL FUNDS	128119203
32057	CALAMOS MARKET NEUTRAL INCOME CL I	0.15%	USADDRESS	2020 CALAMOS COURT	NAPERVILLE	IL	60563	CALAMOS FAMILY OF MUTUAL FUNDS	128119880
32057	CALVERT EQUITY FUND CLASS A	0.40%	USADDRESS	4550 MONTGOMERY AVENUESUITE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	131618308
32057	CALVERT SMALL CAP CL I	0.15%	USADDRESS	4550 MONTGOMERY AVENUESUITE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	13161P862
32057	CALVERT INTL EQUITY CLASS A	0.40%	USADDRESS	4550 MONTGOMERY AVENUESUITE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	131649105
32057	FULLER & THALER BEHV SMALL CAP EQTY INST	0.10%	USADDRESS	411 BOREL AVENUE, SUITE 300	SAN MATEO	CA	94402	FULLER & THALER	140640865
32057	FULLER & THALER BEHVS SMALL CAP EQTY INV	0.40%	USADDRESS	411 BOREL AVENUE, SUITE 300	SAN MATEO	CA	94402	FULLER & THALER	140640881
32057	CARILLON SCOUT INTERNATIONAL CL I	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337388022	EAGLE FUND SERVICES	14214L171
32057	CARILLON REAMS CORE BOND CL Y	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337388022	EAGLE FUND SERVICES	14214L213
32057	CARILLON REAMS CORE BOND FUND CL I	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337388022	EAGLE FUND SERVICES	14214L254
32057	CARILLON REAMS CORE PLUS BOND CL Y	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337388022	EAGLE FUND SERVICES	14214M591
32057	CAUSEWAY INTERNATNALVALUE INVESTOR	0.40%	USADDRESS	P. O. BOX 1100	OAKS	PA	19456	CAUSEWAY	14949P109
32057	CENTRE AMERICAN SELECT EQUITY INVSTR	0.40%	USADDRESS	1290 BROADWAY, SUITE 1100	DENVER	CO	80203	CENTRE FUNDS	156287104
32057	COHEN & STEERS REAL ESTATE SECURITIES A	0.40%	USADDRESS	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017	COHEN & STEERS FUNDS	191912104
32057	COHEN & STEERS REAL ESTATE SECURITIES I	0.15%	USADDRESS	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017	COHEN & STEERS FUNDS	191912401
32057	COHEN & STEERS REALTY SHARES	0.40%	USADDRESS	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017	COHEN & STEERS FUNDS	192476109
32057	COHEN & STEERS INSTL REALTY SHARES	0.10%	USADDRESS	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017	COHEN & STEERS FUNDS	19247U106
32057	COHEN & STEERS PREF SECURITIES INC A	0.40%	USADDRESS	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017	COHEN & STEERS FUNDS	19248X109
32057	COLUMBIA ACORN INTL SELECT ADV	0.10%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	197199441
32057	COLUMBIA MORTGAGE OPPORTUNITIES CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19764F813
32057	COLUMBIA LARGE CAP CORE FUND CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765H313
32057	COLUMBIA STRATEGIC INCOME CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765L801
32057	COLUMBIA OVERSEAS VALUE FUND CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765M338
32057	COLUMBIA DIVIDEND INCOME CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765N278
32057	COLUMBIA CONTRARIAN CORE FUND CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P109
32057	COLUMBIA CONTRARIAN CORE FUND CL I	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P406
32057	COLUMBIA BALANCED FUND CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P471
32057	COLUMBIA GLOBAL TECHGROWTH CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P539
32057	COLUMBIA REAL ESTATE EQUITY CL I	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P547
32057	COLUMBIA SMALL CAP GROWTH FD I CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P638
32057	COLUMBIA SELECT LRG CAP GROWTH CLASS A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110		

32057	COLUMBIA OVERSEAS VALUE CL I2	0.10% USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19766P876
32057	COMMERCE VALUE INSTITUTIONAL	0.35% USADDRESS	922 WALNUT ST 4TH FLOOR	KANSAS CITY	MO	64106	COMMERCE FUNDS	200626828
32057	CS MANAGED FUTURES STRATEGY FD CL A	0.40% USADDRESS	ONE MADISON AVENUE, 10TH FLOOR	NEW YORK	NY	10010	CREDIT SUISSE W.P. FUNDS	225405737
32057	CREDIT SUISSE STRATEGIC INCOME A	0.40% USADDRESS	ONE MADISON AVENUE, 10TH FLOOR	NEW YORK	NY	10010	CREDIT SUISSE W.P. FUNDS	225405877
32057	CS FLOATING RATE HIGH INCOME CL A	0.40% USADDRESS	ONE MADISON AVENUE, 10TH FLOOR	NEW YORK	NY	10010	CREDIT SUISSE W.P. FUNDS	225405877
32057	DFA INTERNATIONAL CORE EQUITY	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA INTERNATIONAL CORE EQUITY	233203371
32057	DFA US CORE EQUITY II	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US CORE EQUITY II	233203397
32057	DFA SHORT TERM GOVERNMENT PORT	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA SHORT TERM GOVERNMENT PORT	233203405
32057	DFA US CORE EQUITY I	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US CORE EQUITY I	233203413
32057	DFA EMERGING MKRKS CORE EQU PORTF	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA EMERGING MKRKS CORE EQU PORTF	233203421
32057	DFA US MICRO CAP PRTF INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US MICRO CAP PRTF INSTL	233203504
32057	DFA EMERGING MKRKS VAL PRTF INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA EMERGING MKRKS VAL PRTF INSTL	233203587
32057	DFA EMERGING MARKETS SMALL CAP	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA EMERGING MARKETS SMALL CAP	233203611
32057	DFA INTERNATIONAL SMALL COMPANY PORT	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA INTERNATIONAL SMALL COMPANY PORT	233203629
32057	DFA INT'L SMALL CAP VALUE	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA INT'L SMALL CAP VALUE	233203736
32057	DFA US SMALL CAP VALUE PRTF INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US SMALL CAP VALUE PRTF INSTL	233203819
32057	DFA US LARGE CAP VALUE PRTF INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US LARGE CAP VALUE PRTF INSTL	233203827
32057	DFA US HIGH RELATIVE PROFIT PORT INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US HIGH RELATIVE PROFIT PORT INSTL	23320G133
32057	DFA DIVERSIFIED FIX INCOME PORT INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA DIVERSIFIED FIX INCOME PORT INSTL	23320G166
32057	DFA INVESTMENT GRADE PORTFOLIO INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA INVESTMENT GRADE PORTFOLIO INSTL	23320G448
32057	DFA SHORT TERM EXTENDED QUAL INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA SHORT TERM EXTENDED QUAL INSTL	23320G521
32057	DFA GLOBAL REAL ESTATE SEC PORTFOLIO	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA GLOBAL REAL ESTATE SEC PORTFOLIO	23320G554
32057	DELAWARE SMALL CAP VALUE CLASS A	0.10% USADDRESS	2005 MARKET STREET	PHILADELPHIA	PA	19103	DELAWARE GROUP	246097109
32057	DWS CROCI INTERNATIONAL A	0.40% USADDRESS	280 PARK AVE, FINANCE-PCAM CTRL, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25156G673
32057	DWS SCIENCE AND TECHNOLOGY FUND-A	0.40% USADDRESS	280 PARK AVE, FINANCE-PCAM CTRL, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25159L562
32057	DWS RREF REAL ESTATE SECURITIES IN	0.10% USADDRESS	280 PARK AVE, FINANCE-PCAM CTRL, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25159L737
32057	DFA GLOBAL CORE PLUS FIXED INC INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA GLOBAL CORE PLUS FIXED INC INSTL	25239386
32057	DIAMOND HILL SMALL- MID CAP FD I	0.10% USADDRESS	325 JOHN H. MCCONNELL BLVD., SUITE 200	COLUMBUS	OH	43215	DIAMOND HILL FUNDS	252645783
32057	DFA INTERNATIONAL VALUE PRTF INSTL	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA INTERNATIONAL VALUE PRTF INSTL	254340203
32057	DFA INTERNATIONAL VALUE PORT III	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA INTERNATIONAL VALUE PORT III	254340708
32057	DFA US LARGE CAP VALUE PORT III	0.02% USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DFA US LARGE CAP VALUE PORT III	254340807
32057	DIREXION MONTHLY NASDAQ100BULL2X INV	0.40% USADDRESS	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210	DIREXION FUNDS	254939200
32057	DIREXION MONTHLY S&P 500 BEAR 2X INV	0.40% USADDRESS	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210	DIREXION FUNDS	254939218
32057	DIREXION MONTHLY EMRG MKT BULL 2X INV	0.40% USADDRESS	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210	DIREXION FUNDS	254939630
32057	DIREXION MONTHLY 10 YR NOTE BULL 2X INV	0.40% USADDRESS	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210	DIREXION FUNDS	254939689
32057	DIREXION MONTHLY S&P 500 BULL 2X INV	0.40% USADDRESS	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210	DIREXION FUNDS	254939705
32057	DIREXION MONTHLY SM CAP BULL 2X INV	0.40% USADDRESS	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210	DIREXION FUNDS	254939838
32057	DOMINI IMPACT EQUITYINVESTOR	0.40% USADDRESS	536 BROADWAY 7TH FLOOR	NEW YORK	NY	10012	DOMINI	257132100
32057	DOUBLELINE TOTAL RETURN BOND FD CL I	0.06% USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620103
32057	DOUBLELINE TOTAL RT BOND FD CL N	0.40% USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620202
32057	DOUBLELINE CORE FIXED INCOME CL I	0.06% USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620301
32057	DOUBLELINE CORE FIXED INCOME FD CL N	0.40% USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620400
32057	DOUBLELINE SHILLER ENHANCED CAP CL N	0.40% USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620814
32057	DOUBLELINE SHILLER ENHANCED CAP CL I	0.06% USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620822
32057	DRIEHAUS EMERGING MARKETS	0.40% USADDRESS	25 EAST ERIE STREET	CHICAGO	IL	60611	DRIEHAUS CAPITAL MANAGEMENT	262028301
32057	EATON VANCE GOVT OPPORTUNITIES CL A	\$16.00 USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911103
32057	EATON VANCE FLOATINGRATE FUND CLASS A	\$16.00 USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911129
32057	EATON VANCE FLOATINGRATE HI INC FD CL A	\$16.00 USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911137
32057	PARAMETRIC COMMODITYSTRATEGIC INV CL	0.40% USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923132
32057	EATON VANCE FLOATINGRATE ADVANTAGE CL A	\$16.00 USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923660
32057	EATON VANCE GLOBAL MACRO ABSLTE RT CL I	\$16.00 USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923728
32057	PARAMETRIC TABS 5 1SLADDERED MUNI BOND I	\$16.00 USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	27826M734
32057	AMERICAN EUROPACIFICGROWTH CLASS F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	298706409
32057	AMERICAN EUROPACIFICGROWTH FUND F2	0.15% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	29875E100
32057	FPA NEW INCOME	0.06% USADDRESS	11601 WILSHIRE BLVD, SUITE 1200	LOS ANGELES	CA	90025	FPA FUNDS	302544101
32057	FMI LARGE CAP FUND	0.40% USADDRESS	777 EAST WISCONSIN AVENUE MK-WI-T4MF	MILWAUKEE	WI	53202	FMI FUNDS	302933205
32057	FMI INTERNATIONAL	0.40% USADDRESS	777 EAST WISCONSIN AVENUE MK-WI-T4MF	MILWAUKEE	WI	53202	FMI FUNDS	302933304
32057	FMI COMMON STOCK FUND	0.40% USADDRESS	777 EAST WISCONSIN AVENUE MK-WI-T4MF	MILWAUKEE	WI	53202	FMI FUNDS	302933403
32057	FEDERATED HERMES KAUFMANN LG CAP A	0.40% USADDRESS	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515	FEDERATED FUNDS	314172446
32057	FEDERATED HERMES STR VAL DIV CL A	0.40% USADDRESS	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515	FEDERATED FUNDS	314172586
32057	FEDERATED HERMES KAUFMANN SM CAP A	0.40% USADDRESS	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515	FEDERATED FUNDS	314172636
32057	FEDERATED HERMES OPPOR HIGH YLD BD SS	0.40% USADDRESS	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515	FEDERATED FUNDS	314197104
32057	FEDERATED HERMES KAUFMANN SM CAP IS	0.10% USADDRESS	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515	FEDERATED FUNDS	31421N402
32057	FAM DIVIDEND FOCUS FUND	0.40% USADDRESS	384 NORTH GRAND STREET	COBLESKILL	NY	12043	FAM FUNDS	314465204
32057	EMERALD BANKING AND FINANCE FUND CL A	0.08% USADDRESS	3175 OREGON PIKE	LEOLA	PA	17540	EMERALD MUTUAL FUNDS	317609246
32057	ALPS CORECOMM MINGMT COMPT COMM SM STRT	0.08% USADDRESS	1290 BROADWAY SUITE 1100	DENVER	CO	80203	ALPS FUNDS	317609667
32057	VULCAN VALUE PARTNERSMALL CAP INVESTOR	0.40% USADDRESS	2801 HIGHWAY 280 SOUTH, SUITE 300	BIRMINGHAM	AL	35223	VULCAN FUNDS	317609683
32057	ALPS RED ROCKS GLOB OPPORTUNITY CL INV	0.40% USADDRESS	1290 BROADWAY SUITE 1100	DENVER	CO	80203	ALPS FUNDS	317609816
32057	GRANDEUR PEAK GBL CL REACH FD INVESTOR	0.40% USADDRESS	1290 BROADWAY STREET, SUITE 1100	DENVER	CO	80203	GRANDEUR PEAK FUNDS	31761R104
32057	FIRST EAGLE GLOB CLASS A	0.40% USADDRESS	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F408
32057	FIRST EAGLE GLOBAL CLASS A	0.40% USADDRESS	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F507
32057	FIRST EAGLE GLOBAL CLASS I	0.15% USADDRESS	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F606
32057	FIRSTHAND TECHNOLOGYOPPORTUNITIES FUND	0.40% USADDRESS	150 ALMADEN BLVD., SUITE 1250	SAN JOSE	CA	95113	FIRSTHAND FUNDS	337941504
32057	DF DENT MIDCAP GROWTH FUND INSTL	0.12% USADDRESS	2 EAST READ ST 6TH FLOOR	BALTIMORE	MD	21202	DF DENT	34984T279
32057	DF DENT MIDCAP GROWTH FUND INVESTOR	0.12% USADDRESS	2 EAST READ ST 6TH FLOOR	BALTIMORE	MD	21202	DF DENT	34984T451
32057	ABR DYNAMIC BLEND EQ VOLATILITY INVST	0.40% USADDRESS	PO BOX 588	PORTLAND	ME	04112	ABR DYNAMIC FUNDS	34984T773
32057	ACUITAS US MICROCAP INSTITUTIONAL FUND	0.12% USADDRESS	THREE CANAL PLAZA	PORTLAND	ME	04101	ACUITAS FUNDS	34984T807
32057	POLARIS GLOBAL VALUE	0.12% USADDRESS	THREE CANAL PLAZA, SUITE 600	PORTLAND	ME	04101	POLARIS GLOBAL	349903484
32057	FRANKLIN DYNATECH FUND A	\$16.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496201
32057	FRANKLIN INCOME CL A	\$16.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496490
32057	FRANKLIN INCOME CLASS C	\$19.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496805
32057	FRANKLIN GOLD AND PRECIOUS METALS CL A	\$16.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353535107
32057	FRANKLIN SMALL CAP VALUE CLASS A	0.35% USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	355148305
32057	POLEN GLOBAL GROWTH FUND RETAIL SHARES	0.40% USADDRESS	1825 NW CORPORATE BLVD, SUITE 300	BOCA RATON	FL	33431	POLEN GROWTH FUNDS	360875637
32057	POLEN GLOBAL GROWTH INSTITUTIONAL CLASS	0.12% USADDRESS	1825 NW CORPORATE BLVD, SUITE 300	BOCA RATON	FL	33431	POLEN GROWTH FUNDS	360875645
32057	GABELLI GOLD FUND CLAAA	0.40% USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36239R107
32057	GABELLI SMALL CAP GROWTH AAA	0.35% USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36239T102
32057	GABELLI EQUITY INCOME FUND AAA	0.35% USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36239T202
32057	GABELLI UTILITIES	0.35% USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36240E103
32057	GLENMEDE LARGE CAP CORE	0.40% USADDRESS	1650 MARKET ST. SUITE 1200	PHILADELPHIA	PA	19103	GLENMEDE	378690788
32057	GOLDMAN SACHS INTL EQUITY INSIGHTS A	0.40% USADDRESS	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38142V878
32057	GOLDMAN SACHS EMERGEKMTS DEBT FUND CL A	0.40% USADDRESS	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38143H803
32057	GOLDMAN SACHS INVEST GRADE CRED FD INSTL	0.07% USADDRESS	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38143H845
32057	GOLDMAN SACHS GGG PARTNERS INTL OPP I	0.17% USADDRESS	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38147N293
32057	GOLDMAN SACHS GGG PART INTLNTL OPP A	0.40% USADDRESS	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38147N327
32057	GREEN CENTURY MSCI INTL INDEX INVESTOR	0.40% USADDRESS	114 STATE ST., STE. 200	BOSTON	MA	02111	GREEN CENTURY FUNDS	392768404
32057	AMERICAN GROWTH FUND OF AMERICA CLASS F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	399874403
32057	GUGGENHEIM TOTAL RETURN BOND FD INSTL	0.15% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40168W525
32057	GUGGENHEIM MACRO OPPORTUNITIES INSTL	0.09% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40168W582
32057	GUGGENHEIM LIMITED DURATION CL P	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169I705
32057	GUGGENHEIM TOTAL RETURN BOND CL P	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169I879
32057	GUINNESS ATKINSON GLOBAL INNOVATORS	0.40% USADDRESS	2220 E. ROUTE 66, SUITE 226	GLENDDORA	CA	91740	GUINNESS ATKINSON FUNDS	402031306
32057	JOHN HANCOCK REGIONAL BANK CL A	0.40% USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	409905106
32057	JOHN HANCOCK BOND CLASS A	0.40% USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	410223101
32057	HARBOR BOND INST	0.10% USADDRESS	111 S. WACKER DR. 34TH FLOOR	CHICAGO	IL	60606	HARBOR FUNDS	411511108
32057	HARBOR CAP APP INST	0.10% USADDRESS	111 S. WACKER DR. 34TH FLOOR	CHICAGO	IL	60606	HARBOR FUNDS	411511504
32057	HARBOR INTL INV	0.35% USADDRESS	111 S. WACKER DR. 34TH FLOOR	CHICAGO	IL	60606	HARBOR FUNDS	411511645
32057	HARBOR LARGE CAP VALUE INV CLASS	0.35% USADDRESS	111 S. WACKER DR. 34TH FLOOR	CHICAGO	IL	60606	HARBOR FUNDS	411511744
32057	HARBOR CONV SEC INST	0.10% USADDRESS	111 S. WACKER DR. 34TH FLOOR	CHICAGO	IL	60606	HARBOR FUNDS	411512734
32057	HARDING LOEVNER INTL EQUITY PORT INSTL	0.15% USADDRESS	PO BOX 4766	CHICAGO	IL	60680	HARDING LOEVNER	412295107
32057	HARDING LOEVNER INTL EQUITY PORT INV	0.40% USADDRESS	PO BOX 4766	CHICAGO	IL	60680	HARDING LOEVNER	412295503
32057	OAKMARK FUND INVESTOR CLASS	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838103

32057	OAKMARK INTL INVESTOR CL	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838202
32057	OAKMARK EQUITY & INCOME INVESTOR CL	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838400
32057	OAKMARK INTERNAT'L SMALL CAP INVESTOR	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838509
32057	OAKMARK SELECT INVESTOR CL	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838608
32057	OAKMARK INTL ADVISOR FUND	0.10% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838731
32057	OAKMARK GLOBAL SELECT FD INVESTOR	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838822
32057	OAKMARK GLOBAL FUND INVESTOR CLASS	0.35% USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838830
32057	HARTFORD HEALTHCARE FUND CL A	0.40% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416645398
32057	HARTFORD CORE EQUITY CLASS Y	0.10% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416645653
32057	HARTFORD CORE EQUITYCLASS A	0.40% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416645679
32057	HARTFORD BALANCED INCOME FD CL A	0.35% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416648244
32057	HARTFORD HEALTHCARE FUND CL I	0.15% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416649887
32057	HARTFORD STRATEGIC INCOME FUND CL A	0.35% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416641666
32057	HARTFORD WORLD BOND FUND CL I	0.15% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	41664M235
32057	THE HARTFORD BALANCED INCOME CL I	0.15% USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	41664M821
32057	HEARTLAND VALUE PLUS	0.40% USADDRESS	789 N. WATER STREET	MILWAUKEE	WI	53202	HEARTLAND FUNDS	422352500
32057	HENNESSY FOCUS FUND INVESTOR CLASS	0.40% USADDRESS	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945	HENNESSY FUNDS	42588P700
32057	HOTCHKIS & WILEY MIDCAP VALUE CL A	0.40% USADDRESS	725 SOUTH FIGUEROA 39TH FLOOR	LOS ANGELES	CA	90017	HOTCHKIS & WILEY	44134R206
32057	HOTCHKIS & WILEY VALUE OPP CLASS A	0.40% USADDRESS	725 SOUTH FIGUEROA 39TH FLOOR	LOS ANGELES	CA	90017	HOTCHKIS & WILEY	44134R792
32057	HUSSMAN STRATEGIC TOTAL RETURN	\$12.00 USADDRESS	225 PICTORIA DRIVE, SUITE 450	CINCINNATI	OH	45246	HUSSMAN	44810R209
32057	AMERICAN INCOME FUND OF AMERICA CLASS F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	453320400
32057	AMERICAN INCOME FUND OF AMERICA CL F2	0.12% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	453320822
32057	AMERICAN INVESTMENT CO OF AMERICA CL F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	461308405
32057	WCM FOCUSED INTL GROWTH FUND INVESTOR	0.40% USADDRESS	2220 EAST ROUTE 66, SUITE 226	GLENORA	CA	91740	WCM FUNDS	461418386
32057	WCM FOCUSED INTL GROWTH FUND INSTL	0.40% USADDRESS	2220 EAST ROUTE 66, SUITE 226	GLENORA	CA	91740	WCM FUNDS	461418444
32057	EUROPAC INTL VALUE FUND CLASS A	0.08% USADDRESS	LOTS 81-82, STREET C, SUITE 204	DORADO	PR	00646	EURO PACIFIC FUNDS	461418766
32057	RIVERBRIDGE GROWTH FUND INVESTOR	0.40% USADDRESS	2220 E. ROUTE 66, SUITE 226	GLENORA	CA	91740	RIVERBRIDGE FUNDS	46141P305
32057	EUROPAC INTERNATNL DIVIDEND INC CL A	0.08% USADDRESS	LOTS 81-82, STREET C, SUITE 204	DORADO	PR	00646	EURO PACIFIC FUNDS	46141P487
32057	EUROPAC GOLD FUND CLASS A	0.08% USADDRESS	LOTS 81-82, STREET C, SUITE 204	DORADO	PR	00646	EURO PACIFIC FUNDS	46141P677
32057	SILVERPEPPER COMM BASED GLBL MACRO ADV	0.40% USADDRESS	570 OAKWOOD AVE.	LAKE FOREST	IL	60045	SILVERPEPPER FUNDS	46141P768
32057	ARISTOTLE CORE EQUITY CL I	0.12% USADDRESS	2220 E. ROUTE 66, SUITE 226	GLENORA	CA	91740	ARISTOTLE FUNDS	46141Q360
32057	AXS CHESAPEAKE STRATEGY I	0.10% USADDRESS	181 WESTCHESTER AVENUE, SUITE 402	PORT CHESTER	NY	10573	AXS FUNDS	46141T372
32057	IVY EMERGING MARKETSEQUITY CL A	0.40% USADDRESS	6300 LAMAR AVE	OVERLAND PARK	KS	66202	IVY FUNDS	46589P766
32057	IVY INTERNATIONAL CORE EQUITY CL I	0.15% USADDRESS	6300 LAMAR AVE	OVERLAND PARK	KS	66202	IVY FUNDS	46589P706
32057	IVY SCIENCE & TECHNOLOGY CL Y	0.40% USADDRESS	6300 LAMAR AVE	OVERLAND PARK	KS	66202	IVY FUNDS	466000676
32057	IVY SCIENCE & TECHNOLOGY CL A	0.40% USADDRESS	6300 LAMAR AVE	OVERLAND PARK	KS	66202	IVY FUNDS	466000718
32057	LOOMIS SAYLES GLOBALALLOCATION CLASS A	0.40% USADDRESS	399 BOYLSTON STREET, 8TH FLOOR	BOSTON	MA	02116	NATIXIS GLOBAL ASSOCIATES	46602Q107
32057	JPMORGAN INCOME FUNDCLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K240
32057	JPMORGAN HEDGED EQUITY CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K281
32057	JPMORGAN HEDGED EQUITY CLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K315
32057	JPMORGAN GL BOND OPPORTUNITIES FUND A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K711
32057	JP MORGAN OPPORT EQ LONG SHORT FD CL A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46641U606
32057	JAMES BALANCED: GOLDEN RAINBOW FUND	0.40% USADDRESS	1290 BROADWAY ST. SUITE 1100	DENVER	CO	80203	JAMES ADVANTAGE	470259102
32057	JANUS HENDERSON GROWTH & INCOME T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023200
32057	JANUS HENDERSON GLOB TECH & INNOV I	\$14.00 USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023233
32057	JANUS HENDERSON GL LIFE SCIENCES I	\$14.00 USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023465
32057	JANUS HENDERSON VENTURE T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023507
32057	JANUS HENDERSON SMALL CAP VALUE T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023572
32057	JANUS HENDERSON FLEXIBLE BOND T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023606
32057	JANUS HENDERSON GLOBAL SELECT T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023648
32057	JANUS HENDERSON CONTRARIAN T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023655
32057	JANUS HENDERSON GLOB TECH & INNOV T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023663
32057	JANUS HENDERSON GL LIFE SCIENCES T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023671
32057	JANUS HENDERSON HIGH-YIELD T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023762
32057	JANUS HENDERSON ENTERPRISE T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023804
32057	JANUS HENDERSON OVERSEAS T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023846
32057	JANUS HENDERSON BALANCED T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023879
32057	JANUS HENDERSON GL REAL ESTATE T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103A567
32057	JANUS HENDERSON FORTY T	0.35% USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103A625
32057	JANUS HENDERSON BALANCED I	\$14.00 USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103C704
32057	JANUS HENDERSON ENTERPRISE I	\$14.00 USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103C795
32057	JANUS HENDERSON DEVELOPED WORLD BD I	\$14.00 USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103Y839
32057	JENSEN QUALITY GROWTH FD CL J	0.40% USADDRESS	811 E. WISCONSIN AVE, 8TH FLOOR	MILWAUKEE	WI	53202	JENSEN FUNDS	476313101
32057	JOHN HANCOCK DISCIPL VALUE INTL FD CL I	0.10% USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47803P294
32057	JOHN HANCOCK INTL GROWTH CL A	0.40% USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47803T619
32057	JOHN HANCOCK INTL GROWTH FUND CL I	0.15% USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47803T627
32057	JOHN HANCOCK DISCIPLINED VALUE MID CAP	0.10% USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47803W505
32057	JPMORGAN INTERNATL VALUE FUND CLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A0540
32057	JPMORGAN EMERGING MARKETS EQUITY CL A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A0607
32057	JPMORGAN EMERGING MKTS EQUITY CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A0623
32057	JPMORGAN SMALL CAP EQUITY FND CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A1373
32057	JP MORGAN SMALL CAP BLEND CL A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A1498
32057	JPMORGAN VALUE ADVANTAGE CL A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A2637
32057	JPMORGAN INCOME BUILDER FUND CLASS I	0.08% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A3254
32057	JP MORGAN INCOME BUILDER FUND CL A	0.38% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A3288
32057	JPMORGAN CORE BOND FUND CL A	0.38% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0357
32057	JPMORGAN CORE BOND CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0381
32057	JPMORGAN EQUITY INCOME FUND CL A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0464
32057	JPMORGAN EQUITY INCOME CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0498
32057	JPMORGAN LARGE CAP GROWTH CLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0506
32057	JPMORGAN LARGE CAP GROWTH CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0530
32057	JPMORGAN SMALL CAP GROWTH CLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0548
32057	JPMORGAN LARGE CAP VALUE FUND CLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C1561
32057	JPMORGAN MID CAP GROWTH FUND CLASS A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C1686
32057	JPMORGAN DIVERS MID CAP GROWTH CLASS I	0.15% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C1710
32057	LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN	0.40% USADDRESS	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112	LAZARD FUNDS	52106N442
32057	LAZARD GLOBAL LISTEDINFRASTRUCTURE INSTL	0.15% USADDRESS	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112	LAZARD FUNDS	52106N459
32057	LAZARD INTL STRAT EQUITY PORT OPEN CL	0.40% USADDRESS	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112	LAZARD FUNDS	52106N582
32057	CLEARBRIDGE INTERN'L SMALL CAP FUND CL A	0.40% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	52467P499
32057	CLEARBRIDGE SMALL CAP FUND CLASS A	0.40% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	524686482
32057	CLEARBRIDGE LARGE CAP GROWTH A	0.40% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	52469H826
32057	CLEARBRIDGE SELECT FUND CL A	0.40% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	52471R648
32057	LOOMIS SAYLES GLOBAL BOND RETAIL	0.35% USADDRESS	399 BOYLSTON STREET, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	534395774
32057	LOOMIS SAYLES GLOBAL BOND RETAIL SHARES	0.35% USADDRESS	399 BOYLSTON STREET, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	534395832
32057	LOOMIS SAYLES BOND INSTL	0.20% USADDRESS	399 BOYLSTON STREET, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	534395840
32057	LORD ABBETT GROWTH LEADERS FUND CL A	0.45% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	534915326
32057	LORD ABBETT SHORT DURATION INCOME CL A	0.37% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	534916100
32057	LORD ABBETT SHORT DURATION INCOME CL I	0.15% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	534916688
32057	LORD ABBETT BOND DEBENTURE CLASS A	0.37% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	544004104
32057	LORD ABBETT DEVELOP GROWTH CLASS A	0.45% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	544006109
32057	LORD ABBETT MICRO CAP GROWTH FUND A	0.45% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	544008546
32057	LORD ABBETT HIGH YIELD CLASS A	0.37% USADDRESS	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	54400N102
32057	MFS MID CAP VALUE CLASS A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55272P638
32057	MFS INTERNATIONAL GROWTH CLASS A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273E103
32057	MFS INTERNATIONAL INTRINSIC VALUE CL A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273E301
32057	MFS INTERNATIONAL DIVERSIFICATION CL I	0.15% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273G298
32057	MFS INTERNATIONAL DIVERSIFICATION FD A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273G330
32057	MFS LOW VOLATILITY EQUITY CLASS I	0.08% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273H270
32057	MFS INTERNATIONAL NEW DISCOVERY CL A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552981888
32057	MFS RESEARCH INTL FD CL I	0.08% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552983470
32057	MFS VALUE FUND CLASS I	0.15% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552983694
32057	MFS CORE EQUITY FUND CL A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552983884

32057	MFS GLOBAL EQUITY CLASS A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552986507
32057	MFS MID CAP GROWTH CLASS A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552987703
32057	MADISON DIVIDEND INCOME FUND CL Y	0.40% USADDRESS	550 SCIENCE DRIVE	MADISON	WI	53711	MADISON MOSAIC FUNDS	557492477
32057	MADISON HIGH QUALITY BOND FUND CL Y	0.10% USADDRESS	550 SCIENCE DRIVE	MADISON	WI	53711	MADISON MOSAIC FUNDS	557492527
32057	MAINSTAY MACKAY HIGHYIELD CORP BD CL A	0.40% USADDRESS	30 HUDSON STREET, 23RD FLOOR	ARLINGTON	NJ	07032	MAINSTAY	560627772
32057	MAIRS AND POWER SMALL CAP FUND	0.10% USADDRESS	777 E. WISCONSIN AVENUE, FLOOR 4 MK-WI-T4	MILWAUKEE	WI	53202	MAIRS & POWERS	56064V106
32057	MAIRS & POWER GROWTH FUND	0.10% USADDRESS	777 E. WISCONSIN AVENUE, FLOOR 4 MK-WI-T4	MILWAUKEE	WI	53202	MAIRS & POWERS	56064V205
32057	NUANCE MID CAP VALUEFUND INSTL	0.15% USADDRESS	4900 MAIN STREET, SUITE 220	KANSAS CITY	MO	64112	NUANCE FUNDS	56166V511
32057	ATAC ROTATION FUND INVESTOR CL	0.40% USADDRESS	615 E. MICHIGAN ST.	MILWAUKEE	WI	53202	PENSION PARTNERS	56166V818
32057	JACKSON SQUARE SMID CAP GROWTH INSTL	0.12% USADDRESS	1 LETTERMAN DRIVE	SAN FRANCISCO	CA	94129	JACKSON SQUARE PARTNERS	56167N860
32057	JACKSON SQUARE SMID CAP GROWTH FD INVEST	0.40% USADDRESS	1 LETTERMAN DRIVE	SAN FRANCISCO	CA	94129	JACKSON SQUARE PARTNERS	56167N878
32057	MANNING & NAPIER PROBLEND CONSV CL S	0.40% USADDRESS	290 WOODCLIFF DR.	FAIRPORT	NY	14450	MANNING & NAPIER	563821651
32057	MANNING & NAPIER PROBLEND EXTD CL S	0.40% USADDRESS	290 WOODCLIFF DR.	FAIRPORT	NY	14450	MANNING & NAPIER	563821768
32057	MARSICO GLOBAL FUND	0.40% USADDRESS	235 WEST GALENA STREET	MILWAUKEE	WI	53212	MARSICO FUNDS	573012606
32057	MFS MASS INVESTOR GROWTH STOCK A	0.40% USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	575719109
32057	MATTHEW 25	0.40% USADDRESS	P.O. BOX 2479	JENKINTOWN	PA	19046	MATTHEW 25 FUND	577119100
32057	MATTHEWS CHINA SMALLCOMPANIES INVESTOR	0.40% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125404
32057	MATTHEWS CHINA SMALL COMPANIES FUND INST	0.10% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125404
32057	MATTHEWS ASIAN INNOVATORS FD INSTL	0.10% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125859
32057	MATTHEW ASIA CREDIT OPPORTUNITIES CL INV	0.40% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130677
32057	MATTHEWS CHINA DIVIDEND FD INSTL CL	0.10% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130735
32057	MATTHEWS PACIFIC TIGER FUND INSTL	0.15% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130834
32057	MATTHEWS INDIA FUND	0.40% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130859
32057	MATTHEWS ASIA GROWTH FUND INV	0.40% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130867
32057	MATTHEWS ASIAN INNOVATORS FD INVST	0.40% USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130883
32057	MERGER FUND	0.40% USADDRESS	100 SUMMIT LAKE DRIVE #201	VALHALLA	NY	10595	WESTCHESTER FUNDS	589509108
32057	METROPOLITAN WEST TOT RETURN BOND CL M	0.35% USADDRESS	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905103
32057	METROPOLITAN WEST LOW DURATION M	0.35% USADDRESS	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905202
32057	METROPOLITAN WEST TOTAL RETURN CLASS I	0.10% USADDRESS	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905509
32057	METROPOLITAN WEST HIGH YIELD BOND CL M	0.40% USADDRESS	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905871
32057	MILLER CONVERTIBLE BOND CLASS I	0.15% USADDRESS	20 WILLIAM STREET, SUITE G-5	WELLESLEY	MA	02481	MILLER CONVERTIBLE	60055P201
32057	MORGAN STANLEY MORTGAGE SEC TR CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	616962106
32057	MORGAN STANLEY CORE PLUS FIXED INC PRT A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617440581
32057	MORGAN STANLEY DISCOVERY PORT CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617440599
32057	MSIF GLOBAL FRANCHISE CLASS A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617441275
32057	MORGAN STA INST INC. INCEPTION PORT I	0.10% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617441309
32057	MORGAN STANLEY GROWTH PORTFOLIO A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617441564
32057	MORGAN STA INST INC.INCEPTION PORT CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617441614
32057	MORGAN STANLEY GROWTH PORTFOLIO I	0.10% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617441861
32057	MORGAN STANLEY INSIGHT A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617471106
32057	MORGAN STANLEY INSIGHT I	0.15% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617471403
32057	MORGAN STANLEY INTL ADVANTAGE CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617566446
32057	MORGAN STANLEY GLOBAL OPPORTUNITY A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617566685
32057	MORGAN STANLEY GLOBAL OPPORTUNITY I	0.15% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617566693
32057	MORGAN STANLEY INSTLINTERNTL OPP CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617566826
32057	MSIF ASIA OPPORTUNITY CL I	0.10% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X224
32057	MSIF ASIA OPPORTUNITY CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X240
32057	MS INSTIT EMRG MKRTSLEADERS CLASS A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X596
32057	MS FRONTIER MARKETS PORT CL A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X810
32057	MORGAN STANLEY DEVELOPPORTUNITY PORTF A	0.40% USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617688851
32057	EVENTIDE GILEAD FUND CLASS N	0.40% USADDRESS	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	628271682
32057	EVENTIDE HEALTHCARE AND LIFE SCIENCES N	0.40% USADDRESS	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	628271M607
32057	FRANKLIN MUTUAL QUEST FUND CLASS A	\$16.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	628380800
32057	NEUBERGER BERMAN GENESIS TRUST CLASS	0.40% USADDRESS	1290 AVENUE OF THE AMERICAS, 22ND FLOOR	NEW YORK	NY	101040002	NEUBERGER BERMAN GROUP	640917100
32057	NEUBERGER BERMAN LRG CAP VALUE TRUST	0.40% USADDRESS	1290 AVENUE OF THE AMERICAS, 22ND FLOOR	NEW YORK	NY	101040002	NEUBERGER BERMAN GROUP	640917407
32057	NEW COVENANT INCOME FUND	0.40% USADDRESS	200 EAST TWELFTH STREET	JEFFERSONVILLE	IN	47130	NEW COVENANT FUNDS	643642200
32057	AMERICAN NEW PERSPECTIVE CLASS F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	648018406
32057	AMERICAN NEW PERSPECTIVE CL F2	0.15% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	648018828
32057	AMERICAN NEW WORLD FUND CL F2	0.15% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	649280823
32057	NORTH SQUARE AKO RIDGE SM CAP GRWTH A	0.40% USADDRESS	10 SOUTH LASALLE STREET SUITE 1925	CHICAGO	IL	60603	NORTH SQUARE FUNDS	66263L304
32057	NORTHERN SMALL CAP VALUE	0.40% USADDRESS	801 SOUTH CANAL, C-55	CHICAGO	IL	60675	NORTHERN FUNDS	665162400
32057	DYNAMIC US OPFOR FD CL N	0.40% USADDRESS	13215 BEE CAVE PKWY	AUSTIN	TX	78738	INNEALTA FUNDS	66538A786
32057	ALTEGRIS AACA OPPORTUNED ESTATE CL N	0.40% USADDRESS	1200 PROSPECT STREET, SUITE 400	LAJOLLA	CA	92037	ALTEGRIS ADVISORS	66538B677
32057	HCM INCOME PLUS FUNDINVESTOR	0.40% USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G148
32057	ABSOLUTE CAPITAL DEFENDER FD INVESTOR	0.10% USADDRESS	101 PENNSYLVANIA BLVD	PITTSBURGH	PA	15228	ABSOLUTE CAPITAL FUNDS	66538G296
32057	ABSOLUTE CAPITAL ASSET ALLOCATOR INVS	0.10% USADDRESS	101 PENNSYLVANIA BLVD	PITTSBURGH	PA	15228	ABSOLUTE CAPITAL FUNDS	66538G338
32057	HCM DIVIDEND SECTOR PLUS FUND INVESTOR	0.40% USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G627
32057	HCM TACTICAL GROWTH FUND INVESTOR	0.40% USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G858
32057	PFG MFS AGGRESSIVE GROWTH STRATEGY R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I006
32057	PFG JP MORGAN TACTICAGGRESSIVE STRAT R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I065
32057	PFG EQUITY STRATEGY FUND CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I803
32057	PFG BNY MELLON DIVERSIFIER STRAT R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I829
32057	PFG MEEDER TACTICAL STRATEGY FUND R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I837
32057	PFG BALANCED STRATEGY FUND CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I845
32057	PFG JP MORGAN TACTICMODERATE STRATEGY R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I852
32057	PFG ACTIVE CORE BOND STRATEGY FUND CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I878
32057	PFG GLOBAL STRATEGY FUND CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538I886
32057	PRINCETON PREMIUM CL I	0.08% USADDRESS	1580 LINCOLN ST, SUITE 680	DENVER	CO	80203	PRINCETON FUNDS	66539A603
32057	PFG TACTICAL INCOME STRATEGY CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A652
32057	PFG EQUITY INDEX FOCUSED STRATEGY R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A660
32057	PFG SECTOR EQUITY BUS CYCLE STRAT R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A678
32057	PFG BR EQUITY ESG STRATEGY CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A686
32057	PFG AMERICAN FUNDS GROWTH STRAT CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A694
32057	PFG AMERICAN FDS CONS INC STRAT CL R	0.40% USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A710
32057	NUVEEN NWQ SMALL CAP VALUE FD CLASS A	0.40% USADDRESS	333 WEST WACKER DRIVE	CHICAGO	IL	60606	NUVEEN MUTUAL FUNDS	67064Y750
32057	NUVEEN SMALL CAP VALUE CLASS A	0.40% USADDRESS	333 WEST WACKER DRIVE	CHICAGO	IL	60606	NUVEEN MUTUAL FUNDS	670678309
32057	NUVEEN GLOBAL INFRASTRUCTURE CL A	0.40% USADDRESS	333 WEST WACKER DRIVE	CHICAGO	IL	60606	NUVEEN MUTUAL FUNDS	670690494
32057	NUVEEN INTERNATIONALGROWTH FUND CL A	0.40% USADDRESS	333 WEST WACKER DRIVE	CHICAGO	IL	60606	NUVEEN MUTUAL FUNDS	670725738
32057	RED OAK TECHNOLOGY SELECT	0.40% USADDRESS	225 PICTORIA DRIVE, SUITE 450	CINCINNATI	OH	45246	OAK ASSOCIATES FUNDS	671081305
32057	OBERWEIS CHINA OPPORTUNITIES FUND	0.40% USADDRESS	3333 WARRENVILLE ROAD, STE. 500	LISLE	IL	60532	OBERWEIS FUNDS	674375407
32057	OBERWEIS INTL OPPORTUNITIES FUND	0.40% USADDRESS	3333 WARRENVILLE ROAD, STE. 500	LISLE	IL	60532	OBERWEIS FUNDS	674375506
32057	PIMCO LOW DURATION CLASS A	0.38% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693390411
32057	PIMCO TOTAL RETURN CLASS A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693390445
32057	PIMCO INTL BD FD (U.S. DOLLAR-HEDGED) A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693391245
32057	PIMCO MORTGAGE BACKED SEC CL A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693391526
32057	PARNASUS MID CAP GROWTH FUND INVST	0.40% USADDRESS	ONE MARKET STREET-STEUART TOWER SUITE 1600	SAN FRANCISCO	CA	94105	PARNASUS FUNDS	701765109
32057	PARNASUS ENDEAVOR FUND	0.40% USADDRESS	ONE MARKET STREET-STEUART TOWER SUITE 1600	SAN FRANCISCO	CA	94105	PARNASUS FUNDS	701765869
32057	PARNASUS MID CAP	0.40% USADDRESS	ONE MARKET STREET-STEUART TOWER SUITE 1600	SAN FRANCISCO	CA	94105	PARNASUS FUNDS	701765885
32057	PARNASUS CORE EQUITY INVESTOR	0.40% USADDRESS	ONE MARKET STREET-STEUART TOWER SUITE 1600	SAN FRANCISCO	CA	94105	PARNASUS FUNDS	701769101
32057	PARNASUS FIXED INCOME FUND	0.40% USADDRESS	ONE MARKET STREET-STEUART TOWER SUITE 1600	SAN FRANCISCO	CA	94105	PARNASUS FUNDS	701769200
32057	PAYDEN EMERGING MKTS LOCAL BD FD INVESTO	0.12% USADDRESS	333 SOUTH GRAND AVENUE 32ND FLOOR	LOS ANGELES	CA	90071	PAYDEN & RYSEL INVESTMENT GROUP	704329275
32057	PEAR TREE POLARIS FRGN VAL SM CAP ORD	0.40% USADDRESS	55 OLD BEDFORD ROAD	LINCOLN	MA	01773	PEAR TREE FUNDS	70472Q609
32057	PEAR TREE POLARIS FRGN VALUE ORDINARY	0.40% USADDRESS	55 OLD BEDFORD ROAD	LINCOLN	MA	01773	PEAR TREE FUNDS	70472Q708
32057	PERMANENT PORTFOLIO	0.38% USADDRESS	600 MONTGOMERY ST. SUITE 4100	SAN FRANCISCO	CA	94112702	PERMANENT PORTFOLIO	714199106
32057	PERMANENT AGGRESSIVEGROWTH PORTFOLIO	0.40% USADDRESS	600 MONTGOMERY ST. SUITE 4100	SAN FRANCISCO	CA	94112702	PERMANENT PORTFOLIO	714199304
32057	PIMCO INTL BOND FUND (UNHEDED) A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722005196
32057	PIMCO COMMODITY REALRETURN STRAT A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722005584
32057	PIMCO INVESTMENT GR CREDIT BOND FUND A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722008307
32057	PIMCO REAL ESTATE REAL RETURN STRAT A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72200Q299
32057	PIMCO STOCKSPUS INTERNATL USHSDG A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72200Q430
32057	PIMCO ALL ASSET FUNDCCLASS A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72200Q711
32057	PIMCO INCOME FUND CL A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722014744

32057	PIMCO STOCKSPUS INTERNAT'L (UNHGD) A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F557
32057	PIMCO STOCKSPUS SMALL FUND A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F698
32057	PIMCO RAE PLUS FUND A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F888
32057	PIMCO RAE PLUS EMG FUND A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201U539
32057	PIMCO MORTGAGE OPPOR AND BOND FUND A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201U679
32057	PIMCO CREDIT OPPOR BOND FUND A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201W451
32057	PIMCO INCOME CL I3	0.15% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202E393
32057	PIMCO PREFERRED AND CAPITAL SECS CL A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202E666
32057	PIMCO MULTI STRATEGYALTERNATIVE CLASS A	0.40% USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202E799
32057	PIONEER FUND CLASS Y	0.10% USADDRESS	60 STATE STREET, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	723682407
32057	PIONEER FUNDAMENTAL GROWTH FD CL A	0.40% USADDRESS	60 STATE STREET, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	723695102
32057	PIONEER FLEXIBLE OPPORTUNITIES CL A	0.40% USADDRESS	60 STATE STREET, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	723875407
32057	PIONEER SELECT MID CAP GROWTH CLASS A	0.40% USADDRESS	60 STATE STREET, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	72387W408
32057	PREDEX FUND	0.15% USADDRESS	222 N PACIFIC COAST HWY, SUITE 2000	EL SEGUNDO	CA	90245	PREDEX	740361101
32057	T ROWE PRICE COMM & TECHNOLOGY INVESTOR	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741454102
32057	T ROWE PRICE GROWTH STOCK	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741479109
32057	T ROWE PRICE HEALTH SCIENCES	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741480107
32057	T ROWE PRICE GLOBAL TECHNOLOGY	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741494108
32057	T ROWE PRICE GBL MULTI SECTOR BOND FD	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149N106
32057	T ROWE PRICE RET 2030 FD	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P309
32057	T ROWE PRICE RET 2040 FD	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P408
32057	T ROWE PRICE RETIREMENT 2045 FD	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P762
32057	T ROWE PRICE RETIREMENT 2035 FUND	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P762
32057	T ROWE PRICE RETIREMENT 2025 FD	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P788
32057	PRIMECAP ODYSSEY GROWTH FUND	0.10% USADDRESS	2020 E. FINANCIAL WAY, SUITE 100	GLENDDORA	CA	91741	PRIME CAP ODYSSEY	74160Q103
32057	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	0.10% USADDRESS	2020 E. FINANCIAL WAY, SUITE 100	GLENDDORA	CA	91741	PRIME CAP ODYSSEY	74160Q202
32057	PRINCIPAL MID CAP FUND CLASS A	0.40% USADDRESS	620 COOLIDGE DRIVE, SUITE 300	FOLSOM	CA	95630	PRINCIPAL	74254T443
32057	PRINCIPAL GLOBAL DIVERSIFIED INCOME A	0.40% USADDRESS	620 COOLIDGE DRIVE, SUITE 300	FOLSOM	CA	95630	PRINCIPAL	74254V224
32057	PRINCIPAL SHORT TERM INCOME FD CLASS A	0.40% USADDRESS	620 COOLIDGE DRIVE, SUITE 300	FOLSOM	CA	95630	PRINCIPAL	74254V562
32057	AKRE FOCUS FUND RETAIL	0.40% USADDRESS	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202	AKRE FUNDS	742935117
32057	AKRE FOCUS FUND INSTL	0.40% USADDRESS	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202	AKRE FUNDS	742935125
32057	HODGES SMALL CAP FUND RETAIL	0.40% USADDRESS	2905 MAPLE AVENUE	DALLAS	TX	75201	HODGES FUNDS	742935299
32057	PORTFOLIO 21 GLOBAL EQUITY FUND RETAIL	0.40% USADDRESS	777 E. WISCONSIN AVE. / MAIL STOP - MK-WI-74	MILWAUKEE	WI	53202	PROFESSION MGD PTFL	742935588
32057	TECHNOLOGY ULTRA SECTOR PRO FD INVSTR	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185266
32057	INTERNET ULTRASECTORPRO FD INVESTOR	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185357
32057	HEALTH CARE ULTRA SECTOR PRO FD INVSTR	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185373
32057	FINANCIALS ULTRA SECTOR PRO FD INVS	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185399
32057	BASIC MATERIAL ULTRASEC PRO FD INVESTOR	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185514
32057	REAL ESTATE ULTRA SECTOR PRO FD INVSTR	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185530
32057	ULTRA BULL PRO FUND INVESTORS SHARES	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185803
32057	ULTRA NASDAQ-100 PRO FUND INVESTOR CLASS	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185860
32057	ULTRA DOW 30 PRO FUND INVESTOR	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	743185A39
32057	ULTRA INTL PRO FD INVT CL	0.40% USADDRESS	7501 WISCONSIN AVE, SUITE 1000 EAST TOWER	BETHESDA	MD	20814	PRO FUNDS	74318X703
32057	PGIM JEN INTL OPPORTUNITIES CL Z	0.15% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969651
32057	PGIM JENN GLOBAL OPPORTUNITIES CL Z	0.15% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969685
32057	PGIM JENN GLOBAL OPPORTUNITIES CL A	0.10% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969719
32057	PGIM GLOBAL TOTAL RETURN CL A	0.40% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74439A103
32057	PGIM GOVERNMENT INCOME CL Z	0.15% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74439V404
32057	PGIM TOTAL RETURN BOND CL A	0.40% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440B108
32057	PGIM TOTAL RETURN BOND CL Z	0.15% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440B405
32057	PGIM STRATEGIC BOND CL A	0.10% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440K678
32057	PGIM HIGH YIELD CL A	0.40% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440Y108
32057	PGIM HIGH YIELD CL Z	0.15% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440Y801
32057	PGIM SHORT-TERM CORP BOND CL A	0.40% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74441R102
32057	PGIM SHRT DUR HIGH YLD INC FD CL A	0.40% USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	744421109
32057	PUTNAM DIVERSIFIED INCOME TRUST CLASS A	0.40% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746704105
32057	PUTNAM EQUITY INCOMELCLASS A	0.40% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746745108
32057	PUTNAM EQUITY INCOME FUND CL Y	0.15% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746745405
32057	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.40% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746764570
32057	PUTNAM FOCUSED EQ FUND CLASS A	0.40% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746764646
32057	PUTNAM MULTI-CAP CORE FUND CL A	0.40% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	74676P888
32057	PUTNAM GROWTH OPPORTUNITIES CL A	0.40% USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746802800
32057	BOSTON PARTNERS ALL CAP VALUE INVS	0.40% USADDRESS	223 WILMINGTON WEST CHESTER PIKE #216	CHADDS FORD	PA	19317	BOSTON PARTNERS	749255121
32057	BOSTON PARTNERS SM CAP VALUE II INVS	0.40% USADDRESS	223 WILMINGTON WEST CHESTER PIKE #216	CHADDS FORD	PA	19317	BOSTON PARTNERS	749255337
32057	MOTLEY FOOL SMALL MID CAP GROWTH INV	0.40% USADDRESS	2000 DUKE STREET, SUITE 175	ALEXANDRIA	VA	22314	MOTLEY FOOL FUNDS	74925K219
32057	MOTLEY FOOL GLOBAL OPPORTUNITIES INVSTR	0.40% USADDRESS	2000 DUKE STREET, SUITE 175	ALEXANDRIA	VA	22314	MOTLEY FOOL FUNDS	74925K235
32057	SGI US SMALL CAP EQUITY FD CL I	0.10% USADDRESS	620 S. MAIN STREET	BOUNTIFUL	UT	84010	SUMMIT GLOBAL INVESTMENTS	74925K268
32057	SGI GLOBAL EQUITY FUND CL I	0.40% USADDRESS	1055 WESTLAKES DRIVE	BERWYN	PA	19312	RBB FUNDS	74925K417
32057	SGI US LARGE CAP EQUITY FD CL I	0.10% USADDRESS	620 S. MAIN STREET	BOUNTIFUL	UT	84010	SUMMIT GLOBAL INVESTMENTS	74925K524
32057	RIVERNORTH/DOUBLE LINE STRATEGIC INC R	0.40% USADDRESS	325 NORTH LASALLE ST, SUITE 645	CHICAGO	IL	60654	RIVERNORTH FUNDS	76881N301
32057	RIVERPARK LONG/SHORTOPPORTUNITY RETAIL	0.40% USADDRESS	ONE FREEDOM VALLEY DRIVE	OAKS	PA	19456	RIVERPARK FUNDS	76882K868
32057	T ROWE PRICE DIVIDEND GROWTH	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779546100
32057	T ROWE PRICE CAP APPRECIATION	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954M105
32057	T ROWE PRICE FINANCIAL SERVICES	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954N103
32057	T ROWE PRICE U.S. EQUITY RESEARCH FD	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954P108
32057	T ROWE PRICE BLUE CHIP GROWTH INC	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954Q106
32057	T ROWE PRICE TOTAL EQUITY MARKET INDEX	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779552307
32057	T ROWE PRICE NEW AMERICA GROWTH	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779557107
32057	T ROWE PRICE NEW ERA	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779559103
32057	T ROWE PRICE INTERNATIONAL BOND	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H104
32057	T ROWE PRICE INTL DISCOVERY FUND	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H302
32057	T ROWE PRICE NEW ASIA	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H500
32057	T ROWE PRICE INT'L JAPAN	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H708
32057	T ROWE PRICE GLOBAL GR STOCK INVESTOR CL	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H732
32057	T ROWE PRICE OVERSEAS STOCK FUND	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H757
32057	T ROWE PRICE GLOBAL STOCK	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H856
32057	T ROWE PRICE VALUE	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779578103
32057	T ROWE PRICE SCIENCE & TECHNOLOGY	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77957M102
32057	T ROWE PRICE DIVERSD MID CAP GROWTH	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779585108
32057	T ROWE PRICE INSTL FLOATING RATE CL F	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77958B105
32057	T ROWE PRICE SPECTRUM INTERNAT'L	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779906304
32057	T ROWE PRICE QM US SML CAP GRWTH EQUITY	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779917103
32057	GLOBAL REAL ESTATE SECURITIES S	0.25% USADDRESS	1301 SECOND AVENUE 16TH FLOOR	SEATTLE	WA	98101	RUSSELL FUNDS	782493761
32057	RYDEX INVERSE S&P 500 STRATEGY INV CL	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554405
32057	RYDEX S&P 500 2X STRATEGY CL H	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554439
32057	RYDEX NASDAQ 100 INV CLASS	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554603
32057	RYDEX CONSUMER PRODUCTS INVESTOR CL	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554793
32057	RYDEX HIGH YIELD STRATEGY FUND CL H	0.40% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	78356A442
32057	RYDEX DOW JONES INDUSTRIAL AVG CL A	0.07% USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	78356C539
32057	ICON NATURAL RES AND INFRA FUND INSTL	0.15% USADDRESS	P.O. BOX 87	DENVER	CO	802010087	CCM PARTNERS	78410K766
32057	SEXTANT INTRNATIONALFUND	0.40% USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	SEXTANT FUNDS	804096501
32057	AVE MARIA VALUE FUND	0.40% USADDRESS	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170	SCHWARTZ INVESTMENT TRUST	808530208
32057	AVE MARIA GROWTH	0.40% USADDRESS	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170	SCHWARTZ INVESTMENT TRUST	808530307
32057	SEGALL BRYANT HAMILL PLUS BOND INSTL	0.15% USADDRESS	370 17TH STREET, SUITE 5000	DENVER	CO	80202	SEGALL BRYANT & HAMILL AKA WESTCORE	81580H761
32057	SEGALL BRYANT HAMILL FDMNTL INTL SML CAP	0.40% USADDRESS	370 17TH STREET, SUITE 5000	DENVER	CO	80202	SEGALL BRYANT & HAMILL AKA WESTCORE	81580H886
32057	SHELTON GREEN ALPHA FUND S CLASS	0.40% USADDRESS	P.O. BOX 87	DENVER	CO	802010087	CCM PARTNERS	82301Q692
32057	SHELTON NASDAQ 100 INDEX	0.12% USADDRESS	P.O. BOX 87	DENVER	CO	802010087	CCM PARTNERS	82301Q726
32057	AMERICAN SMALLCAP WORLD CLASS F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	831681408
32057	SPROTT GOLD EQUITY FUND INVESTOR	0.40% FOREIGNADDRESS	200 BAY STREET, SUITE 2600	TORONTO	CA	M5J 2J1	SPROTT FUNDS	85208P105
32057	STONE RIDGE HIGH YLD REINSRNC RSK PREM	0.10% USADDRESS	510 MADISON AVENUE	NEW YORK	NY	10022	STONE RIDGE	861728400
32057	STONERIDGE REINSURAC RISK PREM INTERVAL	0.15% USADDRESS	510 MADISON AVENUE	NEW YORK	NY	10022	STONE RIDGE	861729101
32057	STONERIDGE ALTERNVTY LENDING RISK PREM I	0.15% USADDRESS	510 MADISON AVENUE	NEW YORK	NY	10022	STONE RIDGE	86172R101

32057	AIG FOCUSED DIVIDEND STRATEGY CL A	0.10% USADDRESS	3200 PLAZA 5-HARBORSIDE FINANCIAL CTR.	JERSEY CITY	NJ	073114007	SUNAMERICA FUNDS	867048822
32057	TCW EMERGING MARKETS INCOME CL N	0.40% USADDRESS	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017	TCW GALILEO	87234N351
32057	TCW CORE FIX ED INC CLASS I	0.10% USADDRESS	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017	TCW GALILEO	87234N401
32057	TCW TOTAL RETURN BOND CLASS N	0.35% USADDRESS	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017	TCW GALILEO	87234N641
32057	TCW CORE FIXED INCOME CLASS N	0.35% USADDRESS	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017	TCW GALILEO	87234N724
32057	T ROWE PRICE FLOATING RATE INVEST	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	87279B106
32057	T ROWE PRICE GLBL ALLOCATION INVESTOR	0.15% USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	87281T103
32057	TEMPLETON GLOBAL BOND CLASS A	\$16.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	880208103
32057	TEMPLETON GLOBAL BOND ADVISOR CLASS	\$16.00 USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	880208400
32057	THIRD AVENUE REAL ESTATE VALUE INVST	0.40% USADDRESS	622 THIRD AVENUE 32 FLOOR	NEW YORK	NY	10017	THIRD AVENUE FUNDS	884116872
32057	THOMPSON BOND FUND	0.25% USADDRESS	1255 FOURIER DR STE 200	MADISON	WI	53717	THOMPSON INVESTMENT MANAGEMENT, INC.	884891201
32057	THORNBURG INTL VALUE CL INSTL	0.10% USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885215566
32057	THORNBURG LTD TERM INCOME CLASS I	0.15% USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885215681
32057	THORNBURG DEVELOPINGWORLD FUND CL A	0.40% USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885216408
32057	THORNBURG DEVELOPINGWORLD FUND CL I	0.15% USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885216606
32057	THRIVENT MID CAP STOCK FUND CL A	0.10% USADDRESS	4321 N. BALLARD ROAD	APPLETON	WI	549190001	THRIVENT FUNDS	885882688
32057	TIAA-CREF CORE BOND FUND RETAIL	0.12% USADDRESS	730 THIRD AVENUE	NEW YORK	NY	10017	TIAA-CREF	886315712
32057	TIAA-CREF HIGH YIELD FUND INSTL	0.06% USADDRESS	730 THIRD AVENUE	NEW YORK	NY	10017	TIAA-CREF	886315795
32057	THE TOCQUEVILLE PHOENIX FUND	\$16.00 USADDRESS	40 W 57TH STREET 19TH FL	NEW YORK	NY	10019	TOCQUEVILLE	888894847
32057	TOUCHSTONE MID CAP FUND CL Z	0.40% USADDRESS	303 BROADWAY, SUITE 1100	CINCINNATI	OH	452024203	TOUCHSTONE FAMILY OF FUNDS	89155H785
32057	TRANSAMERICA LARGE CAP VALUE CL A	0.40% USADDRESS	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499	TRANSAMERICA	893509281
32057	TRANSAMERICA CAPITAL GROWTH CL A	0.40% USADDRESS	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499	TRANSAMERICA	893958462
32057	TRIBUTARY SMALL COMPANY FD INSTL	0.40% USADDRESS	1620 DODGE STREET, STOP 1089	OMAHA	NE	68197	TRIBUTARY FUNDS	89609H878
32057	FULCRUM DIVRS ABSOL RETURN SUPER INSTL	0.10% USADDRESS	2020 E FINANCIAL WAY STE 100	GLENDDORA	CA	91741	FULCRUM FUND	89832P671
32057	PERFORMANCE TRUST STRATEGIC BOND FD	0.40% USADDRESS	500 WEST MADISON, SUITE 470	CHICAGO	IL	60661	PERFORMANCE TRUST FUNDS	89833W394
32057	TWEEDY BROWNE GLOBAL VALUE FUND	\$25.00 USADDRESS	ONE STATION PLACE, 5TH FLOOR	STAMFORD	CT	06902	TWEEDY BROWNE	901165100
32057	USAA SHORT TERM BOND FUND RETAIL	0.10% USADDRESS	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	902388702
32057	USAA NASDAQ 100 INDEX RETAIL	0.10% USADDRESS	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	903288819
32057	UNDISCOVERED MANAGERBEHAVIORAL VAL CL A	0.40% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	904504586
32057	UNDISCOVERED MGRS BEHAVIOR VALUE CL L	0.08% USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	904504842
32057	VALUE LINE ASSET ALLOCATION INVESTOR	0.40% USADDRESS	7 TIMES SQUARE, SUITE 1606	NEW YORK	NY	10036	VALUE LINE MUTUAL FUNDS	920395100
32057	VALUE LINE MID CAP FOCUSED INVESTORS FD	0.40% USADDRESS	7 TIMES SQUARE, SUITE 1606	NEW YORK	NY	10036	VALUE LINE MUTUAL FUNDS	920423100
32057	SMI DYNAMIC ALLOCATION FUND	0.10% USADDRESS	9700 PARK PLAZA AVE, #203	LOUISVILLE	KY	402412287	SOUND MIND	92046L718
32057	VAN ECK GLOBAL HARD ASSETS CLASS A	0.38% USADDRESS	666 3RD AVENUE, 9TH FL	NEW YORK	NY	10017	VANECK	921075750
32057	VERSUS CAPITAL MULTI MNGR REAL EST INC I	0.15% USADDRESS	5555 DTC PARKWAY, SUITE 330	GREENWOOD VILLAGE	CO	80111	VERSUS CAPITAL FUNDS	92532P207
32057	VERSUS CAPITAL REAL ASSETS CL I	0.15% USADDRESS	5555 DTC PARKWAY, SUITE 330	GREENWOOD VILLAGE	CO	80111	VERSUS CAPITAL FUNDS	92535N100
32057	VICTORY SYCAMORE SM CO OPPORTUNITY I	0.10% USADDRESS	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92646A815
32057	VICTORY SYCAMORE ESTABLISHED VALUE I	0.10% USADDRESS	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92646A831
32057	VICTORY TRIVALENT INTL SMALL CAP A	0.40% USADDRESS	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647K101
32057	VICTORY RS SMALL CAPGROWTH FUND CL A	0.40% USADDRESS	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647Q108
32057	VIRTUS KAR SMALL CAP GROWTH FUND CL I	0.15% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828N593
32057	VIRTUS KAR SMALL CAP GROWTH CL A	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828N627
32057	VIRTUS KAR MID CAP GROWTH FUND CL I	0.10% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828N734
32057	VIRTUS KAR MID CAP GROWTH FUND CL A	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828N767
32057	VIRTUS TACTICAL ALLOCATION FUND A	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828N791
32057	VIRTUS KAR EMERG MKTS SMALL CAP A	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828W627
32057	VIRTUS KAR INTL SMALL CAP CL A	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828W841
32057	VIRTUS ZEVENBERGEN INNOVATIVE GR STK I	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92837F292
32057	VIRTUS ZEVENBERGEN INNOVATIVE GR STK A	0.40% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92837F318
32057	VIRTUS SEIX TOTAL RETURN BOND I	0.10% USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92837F870
32057	WALTHAUSEN SMALL CAP VALUE FD	0.40% USADDRESS	2691 ROUTE 9	MALTA	NY	12020	WALTHAUSEN FUNDS	933310104
32057	WASATCH SMALL CAP GROWTH	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772102
32057	WASATCH CORE GROWTH	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772201
32057	WASATCH HOISINGTON US TREASURY	0.25% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772300
32057	WASATCH ULTRA GROWTH	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772409
32057	WASATCH MICROCAP	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772508
32057	WASATCH SMALL CAP VALUE	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793207
32057	WASATCH INTERNATIONAL GROWTH	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793405
32057	WASATCH ULTRA GROWTH FUND INSTL CL	0.10% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793579
32057	WASATCH SMALL CAP GROWTH FUND INSTL CL	0.10% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793678
32057	WASATCH INTERNATIONAL OPPORTUNITIES FD	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793702
32057	WASATCH CORE GROWTH INSTITUTIONAL	0.10% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793793
32057	WASATCH FRONTIER EMERGING SMALL CO'S	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793819
32057	WASATCH EMERGING INDIA FUND	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793827
32057	WASATCH GLOBAL VALUE FUND	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793843
32057	WASATCH GLOBAL OPPORTUNITIES RETAIL	0.40% USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793868
32057	AMERICAN WASHINGTON MUTUAL INVESTORS F1	0.37% USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	939330403
32057	WELLS FARGO DIVERSIFCAPITAL BUILDER CL A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949850384
32057	WELLS FARGO PRECIOUS METALS CL A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949850533
32057	WELLS FARGO ENDEAVORSELECT FD CL A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949915599
32057	WELLS FARGO GROWTH CLASS A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949915672
32057	WELLS FARGO SHRT TRMHI YIELD BND CLASS A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949917611
32057	WELLS FARGO SPECIAL MID CAP CL A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949921308
32057	WELLS FARGO DISCOVERY FD CL A	0.40% USADDRESS	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105	WELLS FARGO FUNDS	949921506
32057	WCM ALTERNATIVES EVENT DRIVEN INVSTR	0.40% USADDRESS	100 SUMMIT LAKE DRIVE #201	VALHALLA	NY	10595	WESTCHESTER FUNDS	95737C202
32057	WESTERN ASSET CORE BOND FUND CL I	0.15% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	957663305
32057	WESTERN ASSET CORE BOND FUND CL A	0.40% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	957663495
32057	WESTERN ASSET CORE PLUS BOND FUND INSTL	0.15% USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	957663503
32057	WILLIAM BLAIR INTNATLEADERS FUND CL N	0.40% USADDRESS	222 WEST ADAMS STREET, 12TH FLOOR	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	969251693
32057	PLUMB BALANCED	0.40% USADDRESS	PO BOX 44966	MADISON	WI	53717	PLUMB FUNDS	976586107

Plan Name	UnitedHealth Group 401(k) Savings Plan
Plan Sponsor EIN	41-1321939
ERISA Plan #	001
Plan Year Ending	12/31/2020

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

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