

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: 1.5em; font-weight: bold;">2019</div> This Form is Open to Public Inspection
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Part I	Annual Report Identification Information For calendar plan year 2019 or fiscal plan year beginning <u>10/01/2019</u> and ending <u>09/30/2020</u>
A This return/report is for: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☐ a multiemployer plan </div> <div> ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☒ a single-employer plan </div> <div> ☐ a DFE (specify) ____ </div> </div>	
B This return/report is: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☐ the first return/report </div> <div> ☐ the final return/report </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☐ an amended return/report </div> <div> ☐ a short plan year return/report (less than 12 months) </div> </div>	
C If the plan is a collectively-bargained plan, check here. ▶ ☒	
D Check box if filing under: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☒ Form 5558 </div> <div> ☐ automatic extension </div> <div> ☐ the DFVC program </div> </div> <div style="margin-top: 5px;"> ☐ special extension (enter description) </div>	

Part II	Basic Plan Information —enter all requested information				
1a Name of plan <u>ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>004</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>08/07/2007</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>004</u>	1c Effective date of plan <u>08/07/2007</u>	
1b Three-digit plan number (PN) ▶	<u>004</u>				
1c Effective date of plan <u>08/07/2007</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>ALLISON TRANSMISSION, INC.</u> <u>ONE ALLISON WAY</u> <u>INDIANAPOLIS, IN 46222-3271</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>26-0413897</u></td> </tr> <tr> <td>2c Plan Sponsor's telephone number <u>317-242-3561</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>336300</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>26-0413897</u>	2c Plan Sponsor's telephone number <u>317-242-3561</u>	2d Business code (see instructions) <u>336300</u>	
2b Employer Identification Number (EIN) <u>26-0413897</u>					
2c Plan Sponsor's telephone number <u>317-242-3561</u>					
2d Business code (see instructions) <u>336300</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.	07/12/2021	DOUG R. BOLTON
	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

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

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3a Plan administrator's name and address ☒ Same as Plan Sponsor	3b Administrator's EIN 3c Administrator's telephone number <div style="background-color: #cccccc; height: 40px; width: 100%;"></div>
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 1167
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 a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits..... c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2) , 6b , and 6c e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. f Total. Add lines 6d and 6e g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	6a(1) 532 6a(2) 431 6b 558 6c 124 6d 1113 6e 48 6f 1161 6g 6h 0
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:

1B 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
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10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

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

b General Schedules

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

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2019 Form M-1 annual report. If the plan was not required to file the 2019 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 SB (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>	Single-Employer Defined Benefit Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500 or 5500-SF.	<small>OMB No. 1210-0110</small> 2019 This Form is Open to Public Inspection
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For calendar plan year 2019 or fiscal plan year beginning 10/01/2019 and ending 09/30/2020

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

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

A Name of plan <u>ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN</u>	B Three-digit plan number (PN) ►	<u>004</u>
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF <u>ALLISON TRANSMISSION, INC.</u>	D Employer Identification Number (EIN) <u>26-0413897</u>	
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B		
F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500		

Part I	Basic Information		
1	Enter the valuation date: Month <u>10</u> Day <u>01</u> Year <u>2019</u>		
2	Assets:		
	a Market value	2a	<u>106924508</u>
	b Actuarial value	2b	<u>106924508</u>
3	Funding target/participant count breakdown	(1) Number of participants	(2) Vested Funding Target
	a For retired participants and beneficiaries receiving payment.....	<u>510</u>	<u>36573550</u>
	b For terminated vested participants.....	<u>128</u>	<u>2973188</u>
	c For active participants	<u>532</u>	<u>38001047</u>
	d Total.....	<u>1170</u>	<u>77547785</u>
4	If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐		
	a Funding target disregarding prescribed at-risk assumptions	4a	
	b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor.....	4b	
5	Effective interest rate	5	<u>5.57</u> %
6	Target normal cost.....	6	<u>2396227</u>

Statement by Enrolled Actuary

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

SIGN HERE		<u>07/07/2021</u> Date
	Signature of actuary	
	<u>DAVID L. JAKES, FSA, EA, MAAA</u>	<u>20-05110</u> Most recent enrollment number
	Type or print name of actuary	
	<u>MERCER</u>	<u>614-227-5555</u> Telephone number (including area code)
	Firm name	
	<u>325 JOHN H MCCONNELL BLVD SUITE 350 COLUMBUS, OH 43215</u>	
	Address of the firm	

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

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

**Schedule SB (Form 5500) 2019
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Part II Beginning of Year Carryover and Prefunding Balances

	(a) Carryover balance	(b) Prefunding balance
7 Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	0	0
8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	0
9 Amount remaining (line 7 minus line 8)	0	0
10 Interest on line 9 using prior year's actual return of <u>15.19</u> %	0	0
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year)		0
b(1) Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.75</u> %		0
b(2) Interest on line 38b from prior year Schedule SB, using prior year's actual return		0
c Total available at beginning of current plan year to add to prefunding balance		0
d Portion of (c) to be added to prefunding balance		0
12 Other reductions in balances due to elections or deemed elections	0	0
13 Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	0	0

Part III Funding Percentages

14 Funding target attainment percentage	14	137.88 %
15 Adjusted funding target attainment percentage	15	137.88 %
16 Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	134.78 %
17 If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage	17	%

Part IV Contributions and Liquidity Shortfalls**18** Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
Totals ►			18(b)	0	18(c) 0

19 Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year:

a Contributions allocated toward unpaid minimum required contributions from prior years	19a	0
b Contributions made to avoid restrictions adjusted to valuation date	19b	0
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	0

20 Quarterly contributions and liquidity shortfalls:

- a** Did the plan have a "funding shortfall" for the prior year? ☐ Yes ☒ No
- b** If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? ☐ Yes ☐ No
- c** If line 20a is "Yes," see instructions and complete the following table as applicable:

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

Part V Assumptions Used to Determine Funding Target and Target Normal Cost**21** Discount rate:**a** Segment rates:1st segment:
3.74 %2nd segment:
5.35 %3rd segment:
6.11 %☐ N/A, full yield curve used**b** Applicable month (enter code)**21b**

0

22 Weighted average retirement age**22**

62

23 Mortality table(s) (see instructions) ☐ Prescribed - combined☒ Prescribed - separate☐ Substitute**Part VI Miscellaneous Items****24** Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment. ☒ Yes ☐ No**25** Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment. ☐ Yes ☒ No**26** Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment. ☒ Yes ☐ No**27** If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment. **27****Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years****28** Unpaid minimum required contributions for all prior years **28** 0**29** Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a) **29** 0**30** Remaining amount of unpaid minimum required contributions (line 28 minus line 29) **30** 0**Part VIII Minimum Required Contribution For Current Year****31** Target normal cost and excess assets (see instructions):**a** Target normal cost (line 6) **31a** 2396227**b** Excess assets, if applicable, but not greater than line 31a **31b** 2396227**32** Amortization installments:**a** Net shortfall amortization installment Outstanding Balance 0 Installment 0**b** Waiver amortization installment 0 0**33** If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount **33****34** Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33) **34** 0**35** Balances elected for use to offset funding requirement Carryover balance Prefunding balance Total balance 0**36** Additional cash requirement (line 34 minus line 35) **36** 0**37** Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c) **37** 0**38** Present value of excess contributions for current year (see instructions)**a** Total (excess, if any, of line 37 over line 36) **38a** 0**b** Portion included in line 38a attributable to use of prefunding and funding standard carryover balances **38b** 0**39** Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37) **39** 0**40** Unpaid minimum required contributions for all years **40** 0**Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)****41** If an election was made to use PRA 2010 funding relief for this plan:**a** Schedule elected ☐ 2 plus 7 years ☐ 15 years**b** Eligible plan year(s) for which the election in line 41a was made ☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

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
		2019
		This Form is Open to Public Inspection.

For calendar plan year 2019 or fiscal plan year beginning **10/01/2019** and ending **09/30/2020**

A Name of plan ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN	B Three-digit plan number (PN) ►	004
C Plan sponsor's name as shown on line 2a of Form 5500 ALLISON TRANSMISSION, INC.	D Employer Identification Number (EIN) 26-0413897	

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

DIMENSIONAL FUND ADVISORS LP

30-0447847

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

EATON VANCE MANAGEMENT (EVM)

**TWO INTERNATIONAL PLACE
BOSTON, MA 02110**

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

PIMCO

33-0629048

(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)

BANK OF AMERICA

94-1687665

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49	NONE	89046	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

SLC MANAGEMENT

68-0635051

(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?
51	NONE	88034	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

WELLS FARGO BANK NA

94-1347393

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
21 15	NONE	80884	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)

CAPFINANCIAL PARTNERS, LLC

26-0058143

(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?
51	NONE	37000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

WELLS FARGO FUND MANAGEMENT, LLC

71-0828842

(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?
52	NONE	0	Yes ☒ No ☐	Yes ☐ No ☒	0	Yes ☒ No ☐

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

HARTFORD FUNDS MANAGEMENT GROUP

PO BOX 55022
BOSTON, MA 02205-5022

(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?
52	NONE	0	Yes ☒ No ☐	Yes ☐ No ☒	0	Yes ☒ No ☐

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

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

PRINCIPAL GLOBAL INVESTORS

711 HIGH STREET
DES MOINES, IA 50392

(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?
52	NONE	0	Yes ☒ No ☐	Yes ☐ No ☒	0	Yes ☒ No ☐

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

BLACKSTONE ALTERNATIVE INV ADVISORS

345 PARK AVENUE, 28TH FLOOR
NEW YORK, NY 10154

(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?
52	NONE	0	Yes ☒ No ☐	Yes ☐ No ☒	0	Yes ☒ No ☐

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

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

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
WELLS FARGO FUNDS MANAGEMENT, LLC	52	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.	
WELLS FARGO TREASURY PLUS MONEY MKT 71-0828842	0.20% INVESTMENT MANAMGEMENT FEE	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
HARTFORD FUNDS MANAGEMENT GROUP	52	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.	
HARTFORD INETERNATIONAL OPPS FUND PO BOX 55022 BOSTON, MA 02205-5022	0.77% INVESTMENT MANAGEMENT FEE	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
PRINCIPAL GLOBAL INVESTORS	52	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.	
PRINCIPAL REAL ESTATE SECURITIES 711 HIGH STREET DES MOINES, IA 50392	0.91% INVESTMENT MANAGEMENT FEE	

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
BLACKSTONE ALTERNATIVE INV ADVISORS	52	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.
BLACKSTONE ALTERNATIVE MULTI-STRAT 345 PARK AVENUE, 28TH FLOOR NEW YORK, NY 10154	3.01% INVESTMENT MANAGEMENT FEE

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

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

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

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

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

SCHEDULE D (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small>	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ► File as an attachment to Form 5500.	OMB No. 1210-0110 <hr/> 2019 <hr/> This Form is Open to Public Inspection.
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For calendar plan year 2019 or fiscal plan year beginning 10/01/2019 and ending 09/30/2020

A Name of plan <u>ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN</u>	B Three-digit plan number (PN) ►	<u>004</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>ALLISON TRANSMISSION, INC.</u>	D Employer Identification Number (EIN) <u>26-0413897</u>	

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>IRT MIRRORED HOLDING</u>		
b Name of sponsor of entity listed in (a): <u>NORTHERN TRUST INVESTMENTS, INC.</u>		
c EIN-PN <u>26-0413897-001</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>4885197</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>CASH</u>		
b Name of sponsor of entity listed in (a): <u>NORTHERN TRUST INVESTMENTS, INC.</u>		
c EIN-PN <u>26-0413897-002</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>17</u>
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

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

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

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

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

SCHEDULE H (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110
		2019
		This Form is Open to Public Inspection

For calendar plan year 2019 or fiscal plan year beginning 10/01/2019 and ending 09/30/2020		
A Name of plan ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN	B Three-digit plan number (PN) ►	004
C Plan sponsor's name as shown on line 2a of Form 5500 ALLISON TRANSMISSION, INC.	D Employer Identification Number (EIN) 26-0413897	

Part I	Asset and Liability Statement
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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	0	0
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions.....	1b(1)	0	0
(2) Participant contributions.....	1b(2)		
(3) Other.....	1b(3)	591577	597971
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit).....	1c(1)	937644	1704199
(2) U.S. Government securities	1c(2)	26428766	23675500
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	51843132	59760919
(B) All other.....	1c(3)(B)	11228463	9531864
(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)		
(9) Value of interest in common/collective trusts	1c(9)	4220126	4885214
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities.....	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds).....	1c(13)	11053410	13237774
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)	621390	855236

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(1) Employer securities	1d(1)		
(2) Employer real property	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	106924508	114248677

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	106924508	114248677
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Part II Income and Expense Statement

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

Income

		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	0	
(B) Participants	2a(1)(B)		
(C) Others (including rollovers)	2a(1)(C)		
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		0
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	12648	
(B) U.S. Government securities	2b(1)(B)	2226355	
(C) Corporate debt instruments	2b(1)(C)	2119683	
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)		
(F) Other	2b(1)(F)	177156	
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		4535842
(2) Dividends: (A) Preferred stock	2b(2)(A)		
(B) Common stock	2b(2)(B)		
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	170437	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		170437
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	71753003	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	72255815	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		-502812
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	5719959	
(B) Other	2b(5)(B)		
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		5719959

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		753088
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		480927
c Other income	2c		17326
d Total income. Add all income amounts in column (b) and enter total	2d		11174767

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	3462231	
(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)		3462231
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)	80884	
(3) Investment advisory and management fees	2i(3)	214123	
(4) Other	2i(4)	93360	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		388367
j Total expenses. Add all expense amounts in column (b) and enter total	2j		3850598

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		7324169
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

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

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

(1) ☐ Unmodified (2) ☐ Qualified (3) ☒ Disclaimer (4) ☐ Adverse

b Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)?

☒ Yes ☐ No

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

(1) Name: **BKD LLP**

(2) EIN: **44-0160260**

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

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

Part IV Compliance Questions

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

During the plan year:

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

b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)

	Yes	No	Amount
4a		X	
4b		X	

	Yes	No	Amount
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)		X	
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.).....		X	
4d		X	
e Was this plan covered by a fidelity bond?	X		500000
4e	X		500000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?.....		X	
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?.....		X	
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.)	X		
4j	X		
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		X	
4k		X	
l Has the plan failed to provide any benefit when due under the plan?.....		X	
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m			
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year?..... ☐ 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 If the plan is a defined benefit plan, is it covered under the PBGC insurance program (See ERISA section 4021.)? ☒ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year 4288331. (See instructions.)

<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>2019</div> <div>This Form is Open to Public Inspection.</div>
For calendar plan year 2019 or fiscal plan year beginning 10/01/2019 and ending 09/30/2020		
A Name of plan ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN		B Three-digit plan number (PN) ▶ 004
C Plan sponsor's name as shown on line 2a of Form 5500 ALLISON TRANSMISSION, INC.		D Employer Identification Number (EIN) 26-0413897
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): 26-6189386		
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 0
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) 2019 v. 190130		

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

14	Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:		
a	The current year	14a	
b	The plan year immediately preceding the current plan year	14b	
c	The second preceding plan year	14c	
15	Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:		
a	The corresponding number for the plan year immediately preceding the current plan year	15a	
b	The corresponding number for the second preceding plan year	15b	
16	Information with respect to any employers who withdrew from the plan during the preceding plan year:		
a	Enter the number of employers who withdrew during the preceding plan year	16a	
b	If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	16b	
17	If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐		

Part VI	Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans
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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	<p>If the total number of participants is 1,000 or more, complete lines (a) through (c)</p> <p>a Enter the percentage of plan assets held as: Stock: <u>13.0</u> % Investment-Grade Debt: <u>84.0</u> % High-Yield Debt: _____ % Real Estate: _____ % Other: <u>3.0</u> %</p> <p>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</p> <p>c What duration measure was used to calculate line 19(b)? ☐ Effective duration ☐ Macaulay duration ☒ Modified duration ☐ Other (specify): _____</p>
20	<p>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.</p> <p>a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☒ No</p> <p>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 _____</p>

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Independent Auditor's Report and Financial Statements
September 30, 2020 and 2019

Allison Transmission Hourly-Rate Employees Pension Plan

September 30, 2020 and 2019

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Independent Auditor's Report

Plan Administrator
Allison Transmission Hourly-Rate Employees Pension Plan
Indianapolis, Indiana

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Allison Transmission Hourly-Rate Employees Pension Plan, which comprise the statements of net assets available for benefits as of September 30, 2020 and 2019, and the related statements of changes in net assets available for benefits for the years then ended, and the statement of accumulated plan benefits as of October 1, 2019 and the related statement of changes in accumulated plan benefits for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the *Employee Retirement Income Security Act of 1974*, the Plan Administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Wells Fargo Bank N.A., the trustee of the Plan, except for comparing such information with the related information included in the financial statements. We have been informed by the Plan Administrator that the trustee holds the Plan's investment assets and executes investment transactions. The Plan Administrator has obtained certifications from the trustee as of and for the years ended September 30, 2020 and 2019, that the information provided to the Plan Administrator by the trustee is complete and accurate.

Disclaimer of Opinion

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

Other Matter

The supplemental schedules listed in the table of contents are required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the *Employee Retirement Income Security Act of 1974* and are presented for the purpose of additional analysis and are not a required part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on these supplemental schedules.

Report on Form and Content in Compliance With DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the *Employee Retirement Income Security Act of 1974*.

BKD, LLP

Indianapolis, Indiana
July 6, 2021

Federal Employer Identification Number: 44-0160260

Allison Transmission Hourly-Rate Employees Pension Plan

Statements of Net Assets Available for Benefits

September 30, 2020 and 2019

Assets

	<u>2020</u>	<u>2019</u>
Investments , at fair value	\$ 113,650,707	\$ 106,332,931
Receivables		
Accrued interest income	<u>597,971</u>	<u>591,577</u>
Net Assets Available for Benefits	<u><u>\$ 114,248,678</u></u>	<u><u>\$ 106,924,508</u></u>

Allison Transmission Hourly-Rate Employees Pension Plan

Statements of Changes in Net Assets Available for Benefits

Years Ended September 30, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Additions		
Investment Income		
Net appreciation in fair value of investments	\$ 6,451,162	\$ 11,458,988
Interest and dividends	4,716,450	2,841,564
Other income	7,156	10,352
Net investment income	<u>11,174,768</u>	<u>14,310,904</u>
Deductions		
Benefits paid to participants	3,462,231	2,732,605
Administrative expenses	295,007	281,774
Pension Benefit Guaranty Corporation premium	93,360	87,108
Total	<u>3,850,598</u>	<u>3,101,487</u>
Net Increase	7,324,170	11,209,417
Net Assets Available for Benefits, Beginning of Year	<u>106,924,508</u>	<u>95,715,091</u>
Net Assets Available for Benefits, End of Year	<u><u>\$ 114,248,678</u></u>	<u><u>\$ 106,924,508</u></u>

Allison Transmission Hourly-Rate Employees Pension Plan

Statement of Accumulated Plan Benefits and Changes in Accumulated Plan Benefits October 1, 2019

Statement of Accumulated Plan Benefits

	<u>October 1, 2019</u>
Vested benefits	
Participants and beneficiaries currently receiving payments	\$ 40,564,212
Other participants	48,485,497
	<u>89,049,709</u>
Nonvested benefits	<u>1,649,117</u>
Total actuarial present value of accumulated plan benefits	<u><u>\$ 90,698,826</u></u>

Statement of Changes in Accumulated Plan Benefits

	<u>Year Ended October 1, 2019</u>
Actuarial present value of accumulated plan benefits, beginning of year	<u>\$ 80,437,501</u>
Increase (decrease) during the year and period attributable to	
Benefits accumulated	4,781,490
Increase for interest due to the decrease in the discount period	3,553,080
Benefits paid	(2,732,605)
Change in actuarial assumptions (interest and mortality)	4,659,360
Net increase	<u>10,261,325</u>
Actuarial present value of accumulated plan benefits, end of year	<u><u>\$ 90,698,826</u></u>

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements September 30, 2020 and 2019

Note 1: Description of the Plan

The following description of the Plan provides only general information. Additional information about the vesting and benefit provisions and the Pension Benefit Guaranty Corporation's (PBGC) benefit guarantee is contained in the Plan Document and *Summary Plan Description*, which are available from the Plan Administrator. Any inconsistencies between the Plan Document and the *Summary Plan Description* would be governed by the Plan Document.

General

The Plan was established in 2007 as a result of the spin-off of Allison Transmission, Inc. (Company) from General Motors Corporation (GM). All employees of the Company who had worked for GM prior to August 7, 2007 and were participants in the GM Hourly-Rate Employees Pension Plan (GM Plan) maintained their credited service with the GM Plan and will be paid benefits for such prior service from the GM Plan. The Plan will pay benefits to participants based on credited service earned with the Company on and after August 7, 2007. Service with GM will be counted by the Plan for vesting purposes and to determine eligibility to retire for Transferred Employees. Service with GM will be counted for vesting, eligibility to retire and the amount of pension benefit for special Unvested Participants. It was the intent of the Company at the time of spin off from GM that the Plan generally contain the same provisions as the GM Plan, such that employees who transferred from GM to the Company would maintain the same benefit, in aggregate, that would have been provided had the spin-off not occurred and the employees had continued working for GM.

The Plan is a noncontributory defined-benefit retirement plan for eligible hourly-rate employees who are covered by the collective bargaining agreement between the Company and the International Union, United Automobile, Aerospace and Agricultural Implement Workers of America (Union). The Plan is subject to provisions of the *Employee Retirement Income Security Act of 1974* (ERISA). Wells Fargo Bank, N.A. (Wells Fargo) is the trustee of the Plan.

Contributions

The Company has agreed to contribute such amounts as are necessary to provide assets sufficient to meet the benefits to be paid to Plan participants. The Company's present intention is to make contributions in amounts sufficient to annually fund the Plan's current service cost and the initial past-service costs plus interest on them over a period of seven years. The Plan has met the minimum funding requirements established by the federal government.

Pension Benefits

Monthly benefits under the Plan are based on the participant's years of credited service multiplied by a basic benefit rate ranging from \$55.70 to \$56.45 per year of credited service based on the participant's benefit class code, as defined in the Plan Document, pursuant to the collective bargaining agreement. Participants who have ceased active employment are entitled to annual pension benefits beginning at the first of the month following the date the participant turns age 65, and actually retires.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

The Plan permits the following early retirement options: (1) an employee who has attained age 60 but not age 65, and who has 10 or more years of credited service (including service with GM), (2) an employee who has attained age 55 but not age 60, and whose combined years of age and years of credited service (including service with GM) total 85 or more, or (3) any employee who has 30 or more years of credited service (including service with GM). Total and Permanent Disability or Early Retirement participants may also be eligible for a Pension supplement (an Early Retirement Supplement or an Interim Supplement based upon the circumstances).

In addition, an employee who has attained age 55 but not age 65 (or is between ages 50 and 65, if the participant is laid off as a result of a plant closing where no other Allison plants are in the same geographical area), has 10 or more years of credited service (including service with GM), and is either disabled or laid off under certain special circumstances, may retire under mutually satisfactory conditions. In addition to unreduced Early Retirement benefits, such participants may receive a temporary monthly benefit in these circumstances. The monthly temporary benefit is calculated by multiplying the number of years of credited service by a rate ranging from \$50.80 to \$53.45. The maximum number of years of credited service is 30. The monthly temporary benefit is payable until the employee attains age 62 and one month or until the age at which the employee becomes or could have become eligible for a Federal Social Security Benefit for disability or an unreduced Federal Social Security Benefit because of age.

Several optional forms of benefit payments are available to participants including a life annuity, a joint and 65% survivor annuity, a joint and 75% survivor annuity, or a contingent annuity in 5% increments up to 100% of the participant's monthly basic benefit after redetermination at age 62 and one month, if applicable. Payments made in any form other than a life annuity are actuarially adjusted for the option selected.

Based on an agreement with GM, all hourly employees with unbroken seniority at the Company as of June 29, 2007 who were vested in the GM Plan as of that date and who retire from the Company after October 1, 2011, will be entitled to payment from the Plan. Lifetime retirement benefits for those who retire or return to GM on or before October 1, 2011 will be paid from the GM Plan. The Plan started making benefit payments in November 2011.

Death Benefits

Prior to eligibility for retirement, the spouse of a participant who has been married to the participant for at least one year will receive a 50% survivor annuity, as defined in the Plan, upon the death of the participant. After eligibility for retirement and provided the participant has been married for at least one year, the surviving spouse annuity is equal to 65% of the participant's monthly benefit.

Vesting

Upon the earlier of (1) the participant turning age 65, or (2) the participant's completion of 5 years of vesting service, a participant will be vested in his or her benefits under the Plan.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements September 30, 2020 and 2019

Plan Termination

In the event the Plan terminates, the net assets of the Plan will be allocated, as prescribed by ERISA and its related regulations, generally to provide the following benefits in the order indicated:

- a. Annuity benefits that former employees or their beneficiaries have been receiving for at least three years, or that employees eligible to retire for that three-year period would have been receiving if they had retired with benefits in the normal form of annuity under the Plan. The priority amount is limited to the lowest benefit that was payable (or would have been payable) during those three years. The amount is further limited to the lowest benefit that would be payable under plan provisions in effect at any time during the five years preceding plan termination.
- b. Other vested benefits insured by the Pension Benefit Guaranty Corporation (PBGC) up to the applicable limitations discussed below.
- c. Vested benefits not insured by the PBGC.
- d. All nonvested benefits.

Certain benefits under the Plan are insured by the PBGC if the Plan terminates. Generally, the PBGC guarantees most vested normal age retirement benefits, early retirement benefits and certain disability and survivor's pensions. However, the PBGC does not guarantee all types of benefits under the Plan, and the amount of benefit protection is subject to certain limitations. Vested benefits under the Plan are guaranteed at the level in effect on the date of the Plan's termination. However, there is a statutory ceiling, which is adjusted periodically, on the amount of an individual's monthly benefit that the PBGC guarantees.

Whether all participants receive their benefits should the Plan terminate at some future time will depend on the sufficiency, at that time, of the Plan's net assets to provide for accumulated benefit obligations and may also depend on the financial condition of the Plan Sponsor and the level of benefits guaranteed by the PBGC. Any residual assets of the Plan will be distributed to the Company if all liabilities of the Plan to its participants and beneficiaries have been satisfied and the distribution does not contravene any provision of law.

Subsequent Events

Subsequent events have been evaluated through July 6, 2021, which is the date the financial statements were available to be issued.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

Note 2: Summary of Significant Accounting Policies

Method of Accounting

The accompanying financial statements are prepared on the accrual method of accounting.

Use of Estimates

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

Valuation of Investments and Income Recognition

The money market fund is reported at fair value, which approximates its cost basis. Bonds and notes are stated at fair value. Securities, such as common stocks and U.S. Government securities, traded on a national securities exchange are valued at the last reported sales price on the last business day of the Plan year. Corporate bonds and notes are valued on the basis of yields currently available on comparable securities of issuers with similar credit ratings. Mutual funds are valued at the net asset value (NAV) of shares held by the Plan at year end. The fair value of the Plan's interest in the collective trusts are valued based on information reported by the investment trust advisor at year-end. Purchases and sale of securities are recorded on a trade-date basis. Interest income is recorded on an accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Payment of Benefits

Benefit payments to participants are recorded upon distribution.

Administrative Expenses

Administrative expenses may be paid by the employer or the Plan, at the employer's discretion.

Accumulated Plan Benefits

Accumulated plan benefits (see Statements of Accumulated Plan Benefits, Statements of Changes in Accumulated Plan Benefits and Note 4) are those estimated future periodic payments, including lump-sum distributions, which are attributable under the Plan's provisions to the service employees have rendered. Accumulated plan benefits include benefits expected to be paid to:

- a. Retired or terminated employees or their beneficiaries
- b. Present employees or their beneficiaries

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

Benefits under the Plan are based on employees' credited service. Benefits payable under all circumstances — retirement, death, disability and termination of employment — are included, to the extent they are deemed attributable to employee service rendered to the valuation date. Benefits to be provided via annuity contracts excluded from Plan assets are excluded from accumulated plan benefits.

Plan Tax Status

The Plan obtained its latest determination letter on June 23, 2014, in which the Internal Revenue Service (IRS) stated that the Plan and related trust, as then designed, were in compliance with the applicable requirements of the Internal Revenue Code and, therefore, not subject to tax. The Plan has been amended since receiving the determination letter. However, the Plan Administrator believes that the Plan and related trust are currently designed and being operated in compliance with the applicable requirements of the Internal Revenue Code.

Note 3: Certification of Plan Trustee

The Plan Administrator has elected the method of annual reporting compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, Wells Fargo, the trustee of the Plan, has certified the following information included in the accompanying financial statements and supplemental schedules is complete and accurate:

- Investments and accrued interest income as shown in the statements of net assets available for benefits as of September 30, 2020 and 2019
- Investment income as shown in the statements of changes in net assets available for benefits for the years ended September 30, 2020 and 2019
- Investment information included in the accompanying schedule of assets (held at year end) as of September 30, 2020 and schedule of reportable transactions for the year ended September 30, 2020

The Plan's independent auditors did not perform auditing procedures with respect to this information, except for comparing such information to the related information included in the financial statements and supplemental schedules.

Note 4: Accumulated Plan Benefits

An actuary from Mercer determines the actuarial present value of accumulated plan benefits as of the beginning of the Plan year, which is the amount that results from applying actuarial assumptions to adjust the accumulated plan benefits to reflect the time value of money (through discounts for interest) and the probability of payment (by means of decrements such as for death, disability, withdrawal or retirement) between the valuation date and the expected date of payment.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

Significant assumptions underlying the actuarial computations are:

Assumed rate of return of investments	4.0 percent, compounded annually
Mortality basis	Pri-2012 Private Retirement Plans Mortality Tables for employees and annuitants with blue collar adjustment projected generationally for mortality improvements according to MSS-2019 for healthy and disabled lives
Retirement age	Varies by age and service Age 65 for deferred vested participants Average age of retirees in pay status is age 67
Asset valuation	Market

Plan contributions and the actuarial present value of accumulated plan benefits are prepared based on certain assumptions pertaining to interest rates, inflation rates and employee demographics, all of which are subject to change. Due to uncertainties inherent in the estimation and assumption process, it is at least reasonably possible that changes in these estimates and assumptions in the near term could be material to the Plan's financial statements. The foregoing actuarial assumptions are based on the presumption that the Plan will continue. Were the Plan to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated plan benefits.

Note 5: Disclosures About Fair Value of Assets

Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value measurements must maximize the use of observable inputs and minimize the use of unobservable inputs. There is a hierarchy of three levels of inputs that may be used to measure fair value:

- Level 1** Quoted prices in active markets for identical assets or liabilities
- Level 2** Observable inputs other than Level 1 prices, such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data for substantially the full term of the assets or liabilities
- Level 3** Unobservable inputs supported by little or no market activity and are significant to the fair value of the assets or liabilities

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

Recurring Measurements

The following tables present the fair value measurements of assets recognized in the accompanying statements of net assets available for benefits measured at fair value on a recurring basis and the level within the fair value hierarchy in which the fair value measurements fall at September 30, 2020 and 2019:

2020				
Fair Value Measurements Using				
Fair Value	Quoted Prices			
	in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	
Money market fund	\$ 1,704,200	\$ 1,704,200	\$ -	\$ -
Pooled, common and collective fund	4,885,214	-	4,885,214	-
U.S. Governmental securities	23,675,500	6,499,598	17,175,902	-
Bonds and notes	70,148,019	-	70,148,019	-
Mutual funds	13,237,774	13,237,774	-	-
	<u>\$ 113,650,707</u>	<u>\$ 21,441,572</u>	<u>\$ 92,209,135</u>	<u>\$ -</u>

2019				
Fair Value Measurements Using				
Fair Value	Quoted Prices			
	in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	
Money market fund	\$ 937,644	\$ 937,644	\$ -	\$ -
Pooled, common and collective fund	4,220,126	-	4,220,126	-
U.S. Governmental securities	26,428,766	6,503,824	19,924,942	-
Bonds and notes	63,692,985	-	63,692,985	-
Mutual funds	11,053,410	11,053,410	-	-
	<u>\$ 106,332,931</u>	<u>\$ 18,494,878</u>	<u>\$ 87,838,053</u>	<u>\$ -</u>

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

Following is a description of the valuation methodologies and inputs used for assets measured at fair value on a recurring basis and recognized in the accompanying statements of net assets available for benefits, as well as the general classification of such assets pursuant to the valuation hierarchy. There have been no significant changes in the valuation techniques during the year ended September 30, 2020. The Plan had no liabilities measured at fair value on a recurring basis. In addition, the Plan had no assets or liabilities measured at fair value on a nonrecurring basis.

Investments

Where quoted market prices are available in an active market, securities are classified within Level 1 of the valuation hierarchy. Level 1 securities include a money market fund, certain U.S. Governmental securities and mutual funds. If quoted market prices are not available, then fair values are estimated by using quoted prices of securities with similar characteristics or independent asset pricing services and pricing models, the inputs of which are market-based or independently sourced market parameters, including, but not limited to, yield curves, interest rates, volatilities, prepayments, defaults, cumulative loss projections and cash flows. Such securities are classified in Level 2 of the valuation hierarchy. Level 2 securities include certain U.S. Governmental securities, corporate bonds and notes as well as a pooled, common and collective fund. In certain cases where Level 1 or Level 2 inputs are not available, securities are classified within Level 3 of the hierarchy. There are no Level 3 investments in the Plan.

Note 6: Party-in-Interest Transactions

Party-in-interest transactions include those with fiduciaries or employees of the Plan, any person who provides services to the Plan, an employer whose employees are covered by the Plan, an employee organization whose members are covered by the Plan, a person who owns 50 percent or more of such an employer or employee association, or relatives of such persons.

The Plan invests in various bonds and notes of the Plan trustee.

The Plan paid PBGC premiums totaling \$93,360 and \$87,108 during 2020 and 2019, respectively. The Plan paid \$80,884 and \$71,182 of administrative fees to the trustee during 2020 and 2019, respectively. The Plan paid \$214,123 and \$210,592 of investment management fees during 2020 and 2019, respectively. The Company provides certain administrative services at no cost to the Plan.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2020 and 2019

Note 7: Risk and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the statements of net assets available for benefits.

The outbreak of the novel coronavirus COVID-19, which was declared a pandemic by the World Health Organization on March 11, 2020, has led to adverse impacts on the U.S. and global economies. Economic uncertainties have arisen, which have resulted in significant volatility in the investment markets and may continue to impact the value of Plan assets. The duration of these uncertainties and the ultimate financial effects cannot be reasonably estimated at this time.

Supplementary Schedules

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) September 30, 2020

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Money Market Fund			
*Wells Fargo Advantage Treasury Plus Money Market Fund	1,704,200 shares	\$ 1,704,200	\$ 1,704,200
Pooled, Common and Collective Fund			
Northern Trust Investments, Inc.	402 shares	3,270,116	4,885,214
U.S. Governmental Securities			
U.S. Treasury Bond 11/15/2046	700,000 par value	281,631	465,416
U.S. Treasury Bond 11/15/2049	5,775,000 par value	3,740,179	3,666,086
U.S. Treasury Bond 05/15/2050	480,000 par value	455,463	456,302
U.S. Treasury Bond 02/15/2050	300,000 par value	351,919	340,359
U.S. Treasury Note 05/15/2040 4.375	200,000 par value	324,156	314,468
U.S. Treasury Note 05/15/2040 1.125	750,000 par value	774,053	739,567
U.S. Treasury Note 08/15/2030	520,000 par value	517,603	517,400
U.S. Treasury Bond/Note Stripped Zero	3,735,000 par value	1,734,060	2,897,277
U.S. Treasury SEC Stripped 08/15/2047	3,800,000 par value	1,493,666	2,486,416
U.S. Treasury SEC Stripped Zero Cpn 11/15/2041	3,230,000 par value	1,399,364	2,396,789
U.S. Treasury SEC Stripped Zero Cpn 05/15/2046	270,000 par value	116,602	181,427
U.S. Treasury Bond Stripped Zero Cpn 05/15/2044	2,000,000 par value	824,140	1,398,760
U.S. Treasury Bond Stripped Zero Cpn 11/15/2044	1,680,000 par value	653,744	1,168,154
U.S. Treasury Bond Stripped Zero Cpn 11/15/2045	2,510,000 par value	1,081,113	1,704,566
U.S. Treasury Bond Zero Cpn 11/15/2040	3,450,000 par value	1,541,947	2,616,618
U.S. Treasury Bond Zero Cpn 11/15/2042	3,165,000 par value	1,325,150	2,325,895
		16,614,790	23,675,500
Bonds and Notes			
Abbvie, Inc. 11/06/2022	210,000 par value	213,792	221,168
Abbvie, Inc. 11/14/2028	385,000 par value	465,973	456,699
Ace INA Holdings	205,000 par value	245,665	268,638
Aflac, Inc.	210,000 par value	213,484	246,443
Alibaba Group Holding 11/28/2024	410,000 par value	421,207	450,311
Allstate Corp.	395,000 par value	404,115	493,276
Amazon.com Inc.	505,000 par value	513,768	515,110
Ameren Illinois Co.	775,000 par value	767,647	911,935
America Movil SAB DE CV	505,000 par value	527,481	524,225
American Honda Finance 07/07/2023	140,000 par value	139,955	141,152
American Honda Finance 09/08/2023	130,000 par value	129,943	130,044
American Honda Finance 09/10/2025	130,000 par value	129,994	129,991
American Intl Group	315,000 par value	326,972	348,818
American Tower Corp.	440,000 par value	440,022	474,646
Ameriprise Financial, Inc.	255,000 par value	256,701	280,120
Anheuser-Busch INBEV FIN 01/23/25	380,000 par value	397,883	429,981
Anthem, Inc.	390,000 par value	395,363	444,386
Apple, Inc. 05/13/2045	740,000 par value	763,086	991,422
Apple, Inc. 09/12/2047	470,000 par value	467,316	580,596
Applied Materials, Inc.	300,000 par value	301,332	315,282
AT&T, Inc. 06/01/2051	355,000 par value	356,693	358,071
AT&T, Inc. 02/01/2028	300,000 par value	303,972	300,567
Baker Hughes LLC/CO-OBL	165,000 par value	146,698	164,977
Banco Santander SA 04/12/2023	425,000 par value	430,563	453,734

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) (Continued) September 30, 2020

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Bank of America Corp. 12/20/2023	867,000 par value	\$ 894,577	\$ 910,177
Bank of America Corp. 01/23/2026	435,000 par value	462,253	474,789
Berkshire Hathaway ENERG	485,000 par value	515,773	539,786
Berkshire Hathaway FIN	385,000 par value	400,649	500,315
Boeing Co.	380,000 par value	520,695	453,807
BP Capital Markets PLC 04/14/2024	225,000 par value	220,651	242,566
BP Capital Markets PLC 05/04/2026	400,000 par value	382,964	441,600
Branch Banking & Trust	450,000 par value	449,154	466,844
Burlington Resource Financial 08/15/2031	265,000 par value	343,435	383,672
Burlington North Santa Fe 09/01/2043	325,000 par value	395,068	445,998
California ST 10/01/39	335,000 par value	487,361	550,157
Canadian Natl Railway	470,000 par value	447,294	467,392
Capital One Financial	400,000 par value	408,324	435,392
Charles Schwab Corp.	395,000 par value	394,735	447,302
CIGNA Corp.	285,000 par value	302,547	295,579
CNOOC Finance 2013 LTD	650,000 par value	634,763	681,181
Comcast Corp. 01/15/2027	355,000 par value	334,843	380,848
Comcast Corp. 01/15/2033	567,000 par value	572,063	704,503
Comcast Corp. 10/15/2038	375,000 par value	388,478	479,306
Commonwealth Edison Co. 03/01/2045	510,000 par value	461,417	591,972
Commonwealth Edison Co. 11/15/2049	145,000 par value	153,778	158,634
Conoco, Inc.	330,000 par value	444,200	458,235
Cons Edison Co. of NY	555,000 par value	608,126	688,344
Consumers Energy Co.	200,000 par value	198,582	218,288
CVS Health Corp 08/15/2026	445,000 par value	446,842	487,208
CVS Health Corp 08/21/2030	235,000 par value	234,443	229,651
Dow Dupont, Inc.	395,000 par value	404,472	455,301
DTE Electric Co.	640,000 par value	677,510	675,168
Duke Energy Indiana LLC	360,000 par value	365,490	423,234
El Paso Pipeline Part Op	579,000 par value	610,341	597,736
Eli Lilly & Co.	235,000 par value	232,126	221,426
Equinor ASA	300,000 par value	295,245	318,123
Exxon Mobil Corporate	365,000 par value	367,566	391,944
Fifth Third Bancorp	150,000 par value	165,767	165,485
Florida Power & Light Co. 06/01/2024	240,000 par value	243,552	260,242
Florida Power & Light Co. 02/01/2041	365,000 par value	453,162	509,062
Franklin Resources, Inc.	220,000 par value	217,743	229,728
General Dynamics Corp.	180,000 par value	224,068	226,462
Georgia Power Company	445,000 par value	469,755	532,629
Gilead Sciences, Inc.	335,000 par value	339,221	405,786
Home Depot, Inc. 12/06/2048	370,000 par value	386,310	494,575
Intel Corp. 07/29/2025	145,000 par value	144,784	164,732
Intel Corp. 12/08/2047	815,000 par value	807,316	973,297
Intercontinental Exchange	285,000 par value	285,601	285,051
John Deere Capital Corp. 07/18/2029	360,000 par value	370,103	401,900
Johnson & Johnson 12/05/2033	225,000 par value	245,862	294,129
Johnson & Johnson 01/15/2048	415,000 par value	419,104	513,948
Johnson & Johnson 09/1/2040	220,000 par value	220,350	219,648
JPMorgan Chase & Co. 07/15/2025	700,000 par value	725,900	791,791
JPMorgan Chase & Co. 07/24/2038	630,000 par value	579,858	742,833

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) (Continued) September 30, 2020

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Kinder Morgan Energy Partners	425,000 par value	\$ 433,857	\$ 465,056
Kimberly-Clark Corp.	245,000 par value	249,092	314,619
Kimco Realty Corp.	355,000 par value	350,942	379,239
Lloyds Banking Group PLC	335,000 par value	363,669	362,530
Loews Corp.	480,000 par value	498,945	547,315
Lowe's Cos Inc. 4/15/2030	375,000 par value	470,629	465,210
Manuf & Traders Trust Co.	345,000 par value	348,504	386,031
Marathon Petroleum	500,000 par value	546,428	548,005
MasterCard, Inc.	575,000 par value	608,768	703,179
Medtronic, Inc.	301,000 par value	330,993	402,049
Merck & Co., Inc.	225,000 par value	223,247	225,855
Microsoft Corp. 02/06/2047	435,000 par value	472,899	599,956
Mitsubishi UFJ Financial Group	455,000 par value	455,323	476,549
MidAmerican Energy Co. 09/15/2043	355,000 par value	384,631	475,796
Mizuho Financial 07/16/2023	270,000 par value	271,320	279,509
Morgan Stanley 05/19/2022	85,000 par value	84,484	88,064
National Rural Utility Coop	665,000 par value	665,000	741,788
Omnicom Group, Inc.	580,000 par value	584,557	607,446
Oncor Electric Delivery	415,000 par value	412,510	504,997
Oracle Corp. 11/15/2037	695,000 par value	828,857	815,381
Oracle Corp. 04/15/2038	180,000 par value	226,433	280,953
PacifiCorp	305,000 par value	391,330	442,265
PepsiCo, Inc.	400,000 par value	446,972	532,420
Pfizer, Inc.	555,000 par value	590,857	705,860
PNC Bank NA	435,000 par value	443,363	508,663
PPL Electric Utilities	355,000 par value	389,534	474,156
Prologis LP	405,000 par value	402,274	430,466
Prudential Financial Inc	275,000 par value	291,635	294,960
Public Service Electric	775,000 par value	775,744	907,440
Regency Energy Part/Fin	655,000 par value	682,813	696,900
Shell International Fin	260,000 par value	253,133	283,345
Shire Acq Inv Ireland DA	122,000 par value	120,350	124,205
Simon Property Group LP	365,000 par value	366,756	391,338
Southern Cal Edison 10/01/2043	190,000 par value	200,682	219,323
Southern Cal Edison 04/01/2047	95,000 par value	95,163	101,937
Southwestern Public Serv 08/15/2041	440,000 par value	451,079	553,705
Southwestern Public Serv 11/15/2048	335,000 par value	332,839	429,162
Spectra Energy Partners	385,000 par value	406,506	428,751
State Street Corp.	435,000 par value	433,975	476,416
Statoil ASA	350,000 par value	337,793	407,246
Toronto-Dominion Bank	200,000 par value	209,016	216,814
Total Capital Intl SA	280,000 par value	310,481	310,002
Union Electric Co.	200,000 par value	189,032	220,548
United Parcel Service 11/15/2047	440,000 par value	407,348	531,696
UnitedHealth Group, Inc. 3/15/2042	310,000 par value	417,729	394,487
UnitedHealth Group, Inc. 7/15/2035	185,000 par value	184,978	243,643
University Calif Rev	205,000 par value	257,194	305,079
Ventas Realty LP 01/15/2023	100,000 par value	101,713	103,978
Ventas Realty LP 04/15/2024	705,000 par value	738,953	753,553
Verizon Communications 11/1/2034	350,000 par value	353,031	436,338

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) (Continued) September 30, 2020

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Verizon Communications 12/03/2029	499,000 par value	\$ 494,369	\$ 597,533
Visa, Inc.	230,000 par value	230,078	257,336
Wal-Mart Stores, Inc.	335,000 par value	321,979	412,509
Walmart Inc.	65,000 par value	82,917	84,831
Walt Disney Company	375,000 par value	392,063	365,666
*Wells Fargo & Company 02/13/2023	455,000 par value	451,415	482,214
*Wells Fargo & Company 03/08/2022	845,000 par value	865,857	880,769
*Wells Fargo & Company 07/22/2027	250,000 par value	265,595	286,443
*Wells Fargo & Company 02/07/2035	375,000 par value	417,473	513,143
Welltower, Inc.	590,000 par value	606,553	638,185
Westar Energy, Inc.	330,000 par value	337,844	365,237
Westpac Banking Corp 05/13/2026	450,000 par value	469,620	499,748
Westpac Banking Corp 01/16/2030	265,000 par value	266,672	293,477
3M Company	400,000 par value	427,621	460,000
Sierra Receivables Funding Co.	64,791 par value	64,784	64,957
Credit Suisse Mortgage Trust	230,000 par value	225,968	174,883
Citigroup, Inc.	800,000 par value	784,611	825,472
CSAILCommercial Mortgage Trust	400,000 par value	411,125	360,748
Fed Home Ln Mortgage Corp.	250,000 par value	240,986	266,413
Finance Amer Stru 09/25/2069	380,005 par value	384,177	397,686
FREMF Mortgage Trust 12/25/2049	230,000 par value	223,262	239,460
FREMF Mortgage Trust 03/25/2053	220,000 par value	231,629	237,424
FREMF Mortgage Trust 04/25/2051	475,000 par value	492,460	513,670
JPMorgan Chase Commercial Mor 10/06/2038	460,000 par value	469,434	494,647
JPMorgan Chase Commercial Mor 08/27/2047	430,000 par value	381,558	435,831
JPMorgan Chase Commercial Mor 09/15/2050	240,000 par value	233,240	240,607
New Residential Mortgage Loan 2/25/2058	243,540 par value	260,588	262,777
New Residential Mortgage Loan 7/25/2059	290,000 par value	295,800	296,838
Sfave Commercial Mortgage Secu	410,000 par value	398,853	341,653
*Wells Fargo Commercial Mortgage 12/15/2059	95,000 par value	96,817	101,741
Aviation Capital Group	400,000 par value	401,348	395,852
Belrose Funding Trust	225,000 par value	225,491	222,359
BNP Paribas	215,000 par value	215,608	230,579
Boston Gas Company	430,000 par value	439,649	473,138
Cameron LNG LLC	215,000 par value	215,495	236,511
Electricite De France Sa	165,000 par value	176,908	202,467
Enel Finance Intl NV	340,000 par value	335,791	378,869
Hyundai Capital Amara	410,000 par value	407,820	410,750
Mars Inc	305,000 par value	305,750	302,591
Met Life Glob Funding I 06/17/2029	410,000 par value	410,599	462,496
New York Life Insurance	415,000 par value	458,255	467,879
Raytheon Tech Corp	180,000 par value	211,100	230,305
Siemens Financiering mat	820,000 par value	842,885	920,622
Sprint Spectrum/Spec I	166,250 par value	167,614	168,112
		<u>64,146,868</u>	<u>70,148,019</u>
Mutual Funds			
Blackstone Alternative	229,366 shares	2,356,486	2,300,540
DFA Emerging Markets Core Equity	69,265 shares	1,217,624	1,390,841
Eaton Vance Atlanta Capital Smid-Cap	98,792 shares	2,790,534	3,427,098
Hartford International Opportunities	209,831 shares	3,255,619	3,720,307
PIMCO Commodity Real Return	225,617 shares	1,504,694	1,188,999
Principal Investors Real Estate	49,958 shares	1,098,240	1,209,989
		<u>12,223,197</u>	<u>13,237,774</u>
		<u>\$ 97,959,171</u>	<u>\$ 113,650,707</u>

* Parties-in-interest

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4j - Schedule of Reportable Transactions Year Ended September 30, 2020

Identity	Description	Purchase Price	Selling Price	Lease Rental	Expenses Incurred With Transaction	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
Issuer	Wells Fargo Advantage Treasury Plus Money Market Fund							
	Purchases	\$ 32,139,170				\$ 32,139,170	\$ 32,139,170	
	Sales		\$ 31,372,614			31,372,614	31,372,614	\$ -

Schedule SB, line 26 — Schedule of Active Participant Data

Attained age	Years of credited service										
	Under 1	1–4	5–9	10–14	15–19	20–24	25–29	30–34	35–39	40 & up	Total
Under 25											
25–29											
30–34				10							10
35–39				13	3						16
40–44				10	10	2					22
45–49				17	23	8					48
50–54				10	9	7	3				29
55–59				2	13	9	7	4	16	39	90
60–64				1	9	2	6	8	36	144	206
65–69					1	1	2	2	20	62	88
70 & up							2		6	15	23
Total				63	68	29	20	14	78	260	532

In each cell, the number is the count of active participants for each age/service combination.

Schedule SB, Part V — Statement of Actuarial Assumptions/Methods

ACTUARIAL ASSUMPTIONS FOR OCTOBER 1, 2019 FUNDING VALUATION

	10/01/2019	10/01/2019	
Discount rate sponsor elections			
• Segment rates or full yield curve	Segment rates	Segment rates	
• Look-back months	0	0	
	<u>Stabilized</u>	<u>Nonstabilized rates</u>	
• First 5 years	3.74%	2.79%	
• Next 15 years	5.35%	3.90%	
• Over 20 years	6.11%	4.35%	
	Rationale: Interest rate prescribed by IRS		
Mortality sponsor elections			
• Healthy participants	Section 430(h)(3) prescribed separate generational annuitant and nonannuitant mortality tables. These tables are based on the RP-2014 mortality tables backed off to 2006 and then projected with mortality improvements using scale MP-2017 in accordance with IRS regulation.		
• Disabilities participants	Section 430(h)(3) prescribed separate generational annuitant and nonannuitant mortality tables. These tables are based on the RP-2014 mortality tables backed off to 2006 and then projected with mortality improvements using scale MP-2017 in accordance with IRS regulation. Rationale: Mortality prescribed by IRS		
Other economic assumptions			
• Flat-dollar benefit increases	None assumed		
• Inflation	Not applicable		
• Expenses	\$380,000 added to current year normal cost Rationale: Expenses are assumed to be equal to the prior Plan Year administration expenses (excluding PBGC premiums) plus expected PBGC Premiums for the current Plan Year rounded to the nearest \$10,000		
• Late retirement increases	Active participants over age 70 and deferred vested participants over age 65 receive late retirement increases based on Actuarial Value		
• Actuarial value	Based on applicable 417(e) mortality and interest rates for the current plan year		

Schedule SB, Part V — Statement of Actuarial Assumptions/Methods

DEMOGRAPHIC ASSUMPTIONS			
• Withdrawal	ATI ultimate rates for hourly employees. See table of sample rates. Rationale: Based on 2019 ATI experience study using data from 2015 through 2018 and the expectation that this period will be representative of anticipated future experience		
• Disability incidence	None assumed		
• Retirement age	ATI retirement rates for hourly employees. See tables of sample rates. Rationale: Based on 2019 ATI experience study using data from 2015 through 2017 and the expectation that this period will be representative of anticipated future experience. A select adjustment is applied for 2019-2021 due to expected retirements under the Special Attrition Program (SAP).		
• Benefit commencement age for			
– Future vested deferred	65		
– Current vested deferred	65		
• Spouse assumptions	<u>Male participants</u>	<u>Female participants</u>	
– Percentage married	80%	55%	
– Spouse age difference	2 years younger	4 years older	
Form of payment	<u>Single life</u>	<u>65% J&S</u>	<u>50% J&S</u>
• Active retirements	100% of unmarried	100% of married	N/A
• Future vested deferred	100%	0%	N/A
• Future disabilities	N/A	N/A	N/A
• Future deaths	N/A	100% of married retirement eligible	100% of married not retirement eligible
• Current vested	100%	0%	N/A
	Rationale: Based on ATI experience		
Unpredictable contingent event assumptions	Not applicable		

Schedule SB, Part V — Statement of Actuarial Assumptions/Methods

Table of Sample Rates

Attained Age	Withdrawal Rates
25	5.00%
30	5.00%
35	4.00%
40	3.50%
45	3.00%
50	2.50%
55	2.00%

Attained Age	Retirement ¹	
	2019 - 2021	2022+
50	10.00%	5.00%
51	10.00%	5.00%
52	10.00%	5.00%
53	10.00%	5.00%
54	10.00%	5.00%
55	10.00%	5.00%
56	10.00%	5.00%
57	10.00%	5.00%
58	10.00%	5.00%
59	10.00%	5.00%
60	10.00%	5.00%
61	10.00%	5.00%
62	20.00%	10.00%
63	20.00%	10.00%
64	20.00%	10.00%
65	20.00%	10.00%
66	20.00%	10.00%
67	20.00%	10.00%
68	20.00%	10.00%
69	20.00%	10.00%
70+	100.00%	100.00%

¹ “2019” refers to the 10/1/2018 – 9/30/2019 plan year

Schedule SB, Part V — Statement of Actuarial Assumptions/Methods

ACTUARIAL METHODS FOR FUNDING**Participant Methods**

Participants or former participants are included or excluded from the valuation as described below:

- **Participants included:** The plan sponsor provides us with data on all participants as of the valuation date.
- **Participants excluded:** No actuarial liability is included for nonvested participants who terminated prior to the valuation date. For this purpose, participants with a break in service on the valuation date are treated as terminated participants.
- **Insurance contracts:** The plan does not have any insurance contracts.

Minimum Funding Methods

The funding target for minimum funding calculations is computed using the traditional unit credit method of funding. The objective under this method is to fund each participant's benefits under the plan as they accrue. Thus, the total pension to which each participant is expected to become entitled at retirement is broken down into units, each associated with a year of past or future credited service.

A detailed description of the calculation follows:

- The plan's valuation date is the beginning of the plan year.
- An individual's funding target is the present value of future benefits based on credited service and average pay as of the beginning of the plan year, and an individual's **target normal cost** is the present value of the benefit expected to accrue in the plan year. If multiple decrements are used, the funding target and the target normal cost for an individual are the sum of the component funding targets and target normal costs associated with the various anticipated separation dates.
- The plan's target normal cost is the sum of the individual target normal costs, and the plan's funding target is the sum of the individual funding targets for all participants under the plan.

Asset Methods

The asset valuation method is the fair market value, plus any discounted receivable contributions.



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
 Attachments to Schedule H (2019 Form 5500)
 Schedule H, Line 4j - Schedule of Reportable Transactions

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**REPORTABLE TRANSACTIONS - SINGLE / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
-----	-----	-----	----	-----	-----	-----	-----
	BEGINNING MARKET VALUE		106,924,507.93				
	COMPARATIVE VALUE (5%)		5,346,225.40				

*** NO TRANSACTIONS QUALIFIED ***

**REPORTABLE TRANSACTIONS - SERIES / BY BROKER
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
BEGINNING MARKET VALUE			106,924,507.93				
COMPARATIVE VALUE (5%)			5,346,225.40				
BROKER: GOLDMAN SACHS							
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 10/11/19 B	1,200,000	1.143	0	1,371,563-	1,371,563	
22831106	ISSUE: 912834ADO - US TREAS SEC STRIPPED 11/15/37 10/11/19 S	2,600,000	0.678	0	1,246,570	1,246,570	0
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 10/18/19 B	25,000	1.137	0	28,416-	28,416	
22831106	ISSUE: 594918CA0 - MICROSOFT CORP 4.25% 2/06/47 10/18/19 S	30,000	1.244	0	37,314	32,614	4,700
22831106	ISSUE: 29446MAC6 - EQUINOR ASA 3.25% 11/18/49 11/13/19 B	300,000	0.984	0	295,245-	295,245	
22831106	ISSUE: 857477BG7 - STATE STREET CORP 2.4% 1/24/30 01/21/20 B	225,000	0.996	0	224,087-	224,087	
22831106	ISSUE: 912810SJ8 - US TREASURY BOND 2.25% 8/15/49 01/27/20 B	1,000,000	1.041	0	1,040,703-	1,040,703	
22831106	ISSUE: 912834DU9 - US TREASURY BOND 11/15/38 01/27/20 S	2,925,000	0.681	0	1,348,396	1,348,396	0
22831106	ISSUE: 912828YB0 - US TREASURY NOTE 1.625% 8/15/29 01/31/20 S	405,000	1.011	0	409,351	400,428	8,923
22831106	ISSUE: 9128286L9 - US TREASURY NOTE 2.25% 3/31/26 02/03/20 S	450,000	1.049	0	472,166	446,439	25,727
22831106	ISSUE: 912828Z60 - US TREASURY NOTE 1.375% 1/31/22 02/10/20 S	280,000	1.000	0	279,956	280,109	-153
22831106	ISSUE: 912828YS3 - US TREASURY NOTE 1.75% 11/15/29 02/14/20 S	900,000	1.015	0	913,535	901,695	11,840
22831106	ISSUE: 931142EC3 - WALMART INC 4.05% 6/29/48 03/03/20 B	65,000	1.276	0	82,917-	82,917	
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 03/03/20 S	200,000	1.287	0	257,414	228,342	29,072
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 03/03/20 S	55,000	1.294	0	71,143	62,794	8,349
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 05/26/20 S	90,000	1.346	0	121,145	102,754	18,391
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 07/13/20 S	275,000	1.382	0	380,102	313,970	66,131
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 07/28/20 S	40,000	1.407	0	56,275	45,668	10,607

**REPORTABLE TRANSACTIONS - SERIES / BY BROKER
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	ISSUE: 46625HJE1 - JPMORGAN CHASE & CO 3.25% 9/23/22 07/29/20 S	455,000	1.060	0	482,318	453,671	28,647
22831106	ISSUE: 548661DU8 - LOWE'S COS INC 4.5% 4/15/30 08/05/20 B	375,000	1.255	0	470,629-	470,629	
22831106	ISSUE: 548661DP9 - LOWE'S COS INC 3.1% 5/03/27 08/05/20 S	365,000	1.131	0	412,771	363,164	49,607
22831106	ISSUE: 45866FAP9 - INTERCONTINENTALEXCH 2.65% 9/15/40 08/20/20 B	285,000	1.002	0	285,601-	285,601	
22831106	ISSUE: 912810SN9 - US TREASURY BOND 1.25% 5/15/50 09/01/20 B	180,000	0.940	0	169,151-	169,151	
SUB-TOTAL				0	10,456,768	10,194,926	261,841

BROKER: WELLS FARGO SECURITIES, LLC

22831106	ISSUE: 912828YH7 - US TREASURY NOTE 1.5% 9/30/24 10/21/19 B	545,000	0.996	0	542,786-	542,786	
22831106	ISSUE: 594918BJ2 - MICROSOFT CORP 3.125% 11/03/25 10/21/19 S	455,000	1.064	0	483,933	481,385	2,548
22831106	ISSUE: 912810SH2 - US TREASURY BOND 2.875% 5/15/49 10/25/19 B	115,000	1.126	0	129,537-	129,537	
22831106	ISSUE: 594918CA0 - MICROSOFT CORP 4.25% 2/06/47 10/25/19 S	125,000	1.236	0	154,548	135,891	18,657
22831106	ISSUE: 209111FD0 - CONS EDISON CO OF NY 4.45% 3/15/44 12/17/19 B	295,000	1.179	0	347,725-	347,725	
22831106	ISSUE: 912828Y87 - US TREASURY NOTE 1.75% 7/31/24 01/07/20 S	955,000	1.007	0	961,416	970,332	-8,916
22831106	ISSUE: 92277GAP2 - VENTAS REALTY LP 3.5% 4/15/24 01/07/20 B	705,000	1.048	0	738,953-	738,953	
22831106	ISSUE: 912810SJ8 - US TREASURY BOND 2.25% 8/15/49 01/13/20 B	100,000	0.988	0	98,824-	98,824	
22831106	ISSUE: 56585ABA9 - MARATHON PETROLEUM 4.75% 12/15/23 01/14/20 B	50,000	1.087	0	54,369-	54,369	
22831106	ISSUE: 912810SF6 - US TREASURY BOND 3% 2/15/49 03/23/20 S	350,000	1.393	0	487,402	380,963	106,440
22831106	ISSUE: 912810SE9 - US TREASURY BOND 3.375% 11/15/48 04/16/20 S	625,000	1.520	0	950,146	668,731	281,416
22831106	ISSUE: 912810SJ8 - US TREASURY BOND 2.25% 8/15/49 04/17/20 S	180,000	1.260	0	226,709	185,647	41,061
22831106	ISSUE: 912810SF6 - US TREASURY BOND 3% 2/15/49 04/24/20 S	65,000	1.437	0	93,420	70,750	22,670
22831106	ISSUE: 912828ZM5 - US TREASURY NOTE 0.125% 4/30/22 04/28/20 B	290,000	0.998	0	289,490-	289,490	
22831106	ISSUE: 912828YB0 - US TREASURY NOTE 1.625% 8/15/29 05/26/20 S	55,000	1.087	0	59,770	54,379	5,390

**REPORTABLE TRANSACTIONS - SERIES / BY BROKER
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	ISSUE: 91324PBW1 - UNITEDHEALTH GROUP 4.375% 3/15/42 07/28/20 B	80,000	1.351	0	108,117-	108,117	
22831106	ISSUE: 00287YBF5 - ABBVIE INC 4.25% 11/14/28 08/04/20 B	385,000	1.210	0	465,973-	465,973	
22831106	ISSUE: 912810SN9 - US TREASURY BOND 1.25% 5/15/50 09/15/20 B	300,000	0.954	0	286,313-	286,313	
22831106	ISSUE: 91282CAE1 - US TREASURY NOTE 0.625% 8/15/30 09/23/20 B	520,000	0.995	0	517,603-	517,603	
	SUB-TOTAL			0	6,997,034	6,527,768	469,266
	GRAND TOTAL			0	17,453,802	16,722,694	731,107

FOOTNOTES

* = SINGLE TRANSACTION IS 5% REPORTABLE
 B = BUY TRANSACTION
 S = SELL TRANSACTION
 R = REINVESTMENT TRANSACTION

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
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BEGINNING MARKET VALUE	106,924,507.93
COMPARATIVE VALUE (5%)	5,346,225.40
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ISSUE: VP7000061 - WF TREAS PLUS MM FD-INST #793

22831100	10/03/19 B	540	1.000	0	540-	540	
22831100	11/01/19 B	58,845	1.000	0	58,845-	58,845	
22831100	11/04/19 B	305	1.000	0	305-	305	
22831100	11/12/19 B	2,058,000	1.000	0	2,058,000-	2,058,000	
22831100	01/13/20 B	432	1.000	0	432-	432	
22831100	01/14/20 B	1,001	1.000	0	1,001-	1,001	
22831100	01/16/20 B	1,879	1.000	0	1,879-	1,879	
22831100	01/24/20 B	250	1.000	0	250-	250	
22831100	01/31/20 B	259	1.000	0	259-	259	
22831100	02/05/20 B	140	1.000	0	140-	140	
22831100	02/14/20 B	152	1.000	0	152-	152	
22831100	02/18/20 B	1,035,000	1.000	0	1,035,000-	1,035,000	
22831100	02/26/20 B	104	1.000	0	104-	104	
22831100	02/26/20 B	70	1.000	0	70-	70	
22831100	03/31/20 B	100,000	1.000	0	100,000-	100,000	
22831100	04/24/20 B	418	1.000	0	418-	418	
22831100	06/23/20 B	491	1.000	0	491-	491	
22831100	06/25/20 B	1,167,000	1.000	0	1,167,000-	1,167,000	
22831100	07/21/20 B	142	1.000	0	142-	142	
22831100	07/21/20 B	43,438	1.000	0	43,438-	43,438	
22831100	08/04/20 B	520	1.000	0	520-	520	
22831100	08/28/20 B	413	1.000	0	413-	413	
22831100	09/01/20 B	413	1.000	0	413-	413	
22831100	09/03/20 B	311	1.000	0	311-	311	
22831100	09/25/20 B	558	1.000	0	558-	558	
22831104	10/01/19 B	0	1.000	0	0-	0	
22831104	11/01/19 B	0	1.000	0	0-	0	
22831104	12/02/19 B	0	1.000	0	0-	0	
22831104	01/02/20 B	0	1.000	0	0-	0	
22831104	02/03/20 B	0	1.000	0	0-	0	
22831104	02/18/20 B	105,000	1.000	0	105,000-	105,000	
22831104	03/02/20 B	0	1.000	0	0-	0	
22831104	03/31/20 B	3,080,000	1.000	0	3,080,000-	3,080,000	
22831104	05/01/20 B	4	1.000	0	4-	4	
22831104	06/25/20 B	1,192,000	1.000	0	1,192,000-	1,192,000	
22831106	10/01/19 B	61,164	1.000	0	61,164-	61,164	
22831106	10/03/19 B	25	1.000	0	25-	25	

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	10/07/19 B	1,499	1.000	0	1,499-	1,499	
22831106	10/08/19 B	5,950	1.000	0	5,950-	5,950	
22831106	10/08/19 B	1,094	1.000	0	1,094-	1,094	
22831106	10/15/19 B	57,562	1.000	0	57,562-	57,562	
22831106	10/18/19 B	2,287	1.000	0	2,287-	2,287	
22831106	10/18/19 B	2,206	1.000	0	2,206-	2,206	
22831106	10/21/19 B	461,527	1.000	0	461,527-	461,527	
22831106	10/24/19 B	16,347	1.000	0	16,347-	16,347	
22831106	10/25/19 B	107,566	1.000	0	107,566-	107,566	
22831106	10/25/19 B	1,795	1.000	0	1,795-	1,795	
22831106	10/29/19 B	49,735	1.000	0	49,735-	49,735	
22831106	10/30/19 B	7,191	1.000	0	7,191-	7,191	
22831106	11/01/19 B	203,010	1.000	0	203,010-	203,010	
22831106	11/06/19 B	104,612	1.000	0	104,612-	104,612	
22831106	11/07/19 B	94,190	1.000	0	94,190-	94,190	
22831106	11/07/19 B	1,131	1.000	0	1,131-	1,131	
22831106	11/08/19 B	19,492	1.000	0	19,492-	19,492	
22831106	11/12/19 B	2,157,041	1.000	0	2,157,041-	2,157,041	
22831106	11/13/19 B	25,938	1.000	0	25,938-	25,938	
22831106	11/14/19 B	396,941	1.000	0	396,941-	396,941	
22831106	11/15/19 B	838	1.000	0	838-	838	
22831106	11/18/19 B	361	1.000	0	361-	361	
22831106	11/18/19 B	2,622	1.000	0	2,622-	2,622	
22831106	11/19/19 B	1,929	1.000	0	1,929-	1,929	
22831106	11/20/19 B	11,628	1.000	0	11,628-	11,628	
22831106	11/21/19 B	7,604	1.000	0	7,604-	7,604	
22831106	11/25/19 B	1,030	1.000	0	1,030-	1,030	
22831106	11/27/19 B	1,040	1.000	0	1,040-	1,040	
22831106	11/29/19 B	320,000	1.000	0	320,000-	320,000	
22831106	12/02/19 B	62,779	1.000	0	62,779-	62,779	
22831106	12/03/19 B	12,289	1.000	0	12,289-	12,289	
22831106	12/05/19 B	19,912	1.000	0	19,912-	19,912	
22831106	12/05/19 B	483,533	1.000	0	483,533-	483,533	
22831106	12/06/19 B	9,824	1.000	0	9,824-	9,824	
22831106	12/06/19 B	1,094	1.000	0	1,094-	1,094	
22831106	12/10/19 B	1,391	1.000	0	1,391-	1,391	
22831106	12/12/19 B	900	1.000	0	900-	900	
22831106	12/16/19 B	69,665	1.000	0	69,665-	69,665	
22831106	12/17/19 B	6,253	1.000	0	6,253-	6,253	
22831106	12/17/19 B	2,206	1.000	0	2,206-	2,206	
22831106	12/18/19 B	350	1.000	0	350-	350	
22831106	12/20/19 B	18,034	1.000	0	18,034-	18,034	
22831106	12/20/19 B	41,563	1.000	0	41,563-	41,563	
22831106	12/26/19 B	1,544	1.000	0	1,544-	1,544	
22831106	12/27/19 B	276	1.000	0	276-	276	
22831106	12/31/19 B	1,038	1.000	0	1,038-	1,038	

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	01/02/20 B	870	1.000	0	870-	870	
22831106	01/08/20 B	1,549	1.000	0	1,549-	1,549	
22831106	01/08/20 B	622	1.000	0	622-	622	
22831106	01/08/20 B	1,131	1.000	0	1,131-	1,131	
22831106	01/09/20 B	383,488	1.000	0	383,488-	383,488	
22831106	01/10/20 B	5,925	1.000	0	5,925-	5,925	
22831106	01/10/20 B	900	1.000	0	900-	900	
22831106	01/15/20 B	348,903	1.000	0	348,903-	348,903	
22831106	01/17/20 B	12,402	1.000	0	12,402-	12,402	
22831106	01/17/20 B	2,538	1.000	0	2,538-	2,538	
22831106	01/21/20 B	9,287	1.000	0	9,287-	9,287	
22831106	01/22/20 B	38,131	1.000	0	38,131-	38,131	
22831106	01/27/20 B	9,197	1.000	0	9,197-	9,197	
22831106	01/29/20 B	1,032	1.000	0	1,032-	1,032	
22831106	01/30/20 B	12,431	1.000	0	12,431-	12,431	
22831106	02/03/20 B	25,136	1.000	0	25,136-	25,136	
22831106	02/06/20 B	9,244	1.000	0	9,244-	9,244	
22831106	02/06/20 B	1,094	1.000	0	1,094-	1,094	
22831106	02/07/20 B	29,810	1.000	0	29,810-	29,810	
22831106	02/10/20 B	11,893	1.000	0	11,893-	11,893	
22831106	02/12/20 B	69,848	1.000	0	69,848-	69,848	
22831106	02/12/20 B	900	1.000	0	900-	900	
22831106	02/13/20 B	7,849	1.000	0	7,849-	7,849	
22831106	02/18/20 B	59,567	1.000	0	59,567-	59,567	
22831106	02/18/20 B	917,646	1.000	0	917,646-	917,646	
22831106	02/19/20 B	12,096	1.000	0	12,096-	12,096	
22831106	02/19/20 B	731	1.000	0	731-	731	
22831106	02/21/20 B	292,737	1.000	0	292,737-	292,737	
22831106	02/24/20 B	1,360	1.000	0	1,360-	1,360	
22831106	02/24/20 B	158,254	1.000	0	158,254-	158,254	
22831106	02/27/20 B	155,927	1.000	0	155,927-	155,927	
22831106	03/02/20 B	31,474	1.000	0	31,474-	31,474	
22831106	03/06/20 B	163,204	1.000	0	163,204-	163,204	
22831106	03/06/20 B	462,079	1.000	0	462,079-	462,079	
22831106	03/09/20 B	42,564	1.000	0	42,564-	42,564	
22831106	03/13/20 B	4,150	1.000	0	4,150-	4,150	
22831106	03/16/20 B	80,484	1.000	0	80,484-	80,484	
22831106	03/17/20 B	326,592	1.000	0	326,592-	326,592	
22831106	03/17/20 B	8,553	1.000	0	8,553-	8,553	
22831106	03/18/20 B	1,936	1.000	0	1,936-	1,936	
22831106	03/19/20 B	176,147	1.000	0	176,147-	176,147	
22831106	03/20/20 B	5,090	1.000	0	5,090-	5,090	
22831106	03/20/20 B	41,563	1.000	0	41,563-	41,563	
22831106	03/23/20 B	7,394	1.000	0	7,394-	7,394	
22831106	03/24/20 B	11,903	1.000	0	11,903-	11,903	
22831106	03/25/20 B	130,881	1.000	0	130,881-	130,881	

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	03/26/20 B	55	1.000	0	55-	55	
22831106	03/27/20 B	1,029	1.000	0	1,029-	1,029	
22831106	03/31/20 B	796,070	1.000	0	796,070-	796,070	
22831106	04/01/20 B	52,323	1.000	0	52,323-	52,323	
22831106	04/07/20 B	7,499	1.000	0	7,499-	7,499	
22831106	04/08/20 B	1,131	1.000	0	1,131-	1,131	
22831106	04/14/20 B	13,427	1.000	0	13,427-	13,427	
22831106	04/15/20 B	71,450	1.000	0	71,450-	71,450	
22831106	04/16/20 B	471,704	1.000	0	471,704-	471,704	
22831106	04/17/20 B	41,884	1.000	0	41,884-	41,884	
22831106	04/17/20 B	1,777	1.000	0	1,777-	1,777	
22831106	04/17/20 B	760	1.000	0	760-	760	
22831106	04/20/20 B	283,039	1.000	0	283,039-	283,039	
22831106	04/21/20 B	2,823	1.000	0	2,823-	2,823	
22831106	04/23/20 B	316,363	1.000	0	316,363-	316,363	
22831106	04/24/20 B	13,453	1.000	0	13,453-	13,453	
22831106	04/27/20 B	11,708	1.000	0	11,708-	11,708	
22831106	04/27/20 B	707	1.000	0	707-	707	
22831106	04/28/20 B	1,247	1.000	0	1,247-	1,247	
22831106	04/29/20 B	1,028	1.000	0	1,028-	1,028	
22831106	04/30/20 B	306,368	1.000	0	306,368-	306,368	
22831106	05/01/20 B	51,743	1.000	0	51,743-	51,743	
22831106	05/04/20 B	21,132	1.000	0	21,132-	21,132	
22831106	05/06/20 B	6,560	1.000	0	6,560-	6,560	
22831106	05/06/20 B	707	1.000	0	707-	707	
22831106	05/07/20 B	1,499	1.000	0	1,499-	1,499	
22831106	05/07/20 B	1,094	1.000	0	1,094-	1,094	
22831106	05/12/20 B	9,750	1.000	0	9,750-	9,750	
22831106	05/13/20 B	17,088	1.000	0	17,088-	17,088	
22831106	05/13/20 B	398,939	1.000	0	398,939-	398,939	
22831106	05/14/20 B	6,413	1.000	0	6,413-	6,413	
22831106	05/15/20 B	80,141	1.000	0	80,141-	80,141	
22831106	05/15/20 B	6,448	1.000	0	6,448-	6,448	
22831106	05/18/20 B	10,484	1.000	0	10,484-	10,484	
22831106	05/19/20 B	6,044	1.000	0	6,044-	6,044	
22831106	05/20/20 B	10,206	1.000	0	10,206-	10,206	
22831106	05/26/20 B	2,162	1.000	0	2,162-	2,162	
22831106	05/28/20 B	1,027	1.000	0	1,027-	1,027	
22831106	06/01/20 B	49,309	1.000	0	49,309-	49,309	
22831106	06/02/20 B	2,269	1.000	0	2,269-	2,269	
22831106	06/03/20 B	10,020	1.000	0	10,020-	10,020	
22831106	06/05/20 B	102,950	1.000	0	102,950-	102,950	
22831106	06/05/20 B	1,656	1.000	0	1,656-	1,656	
22831106	06/08/20 B	23,541	1.000	0	23,541-	23,541	
22831106	06/08/20 B	1,131	1.000	0	1,131-	1,131	
22831106	06/10/20 B	1,391	1.000	0	1,391-	1,391	

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
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ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	06/11/20 B	180	1.000	0	180-	180	
22831106	06/12/20 B	900	1.000	0	900-	900	
22831106	06/15/20 B	60,138	1.000	0	60,138-	60,138	
22831106	06/16/20 B	1,918	1.000	0	1,918-	1,918	
22831106	06/17/20 B	7,667	1.000	0	7,667-	7,667	
22831106	06/17/20 B	1,200	1.000	0	1,200-	1,200	
22831106	06/18/20 B	1,966	1.000	0	1,966-	1,966	
22831106	06/18/20 B	465,184	1.000	0	465,184-	465,184	
22831106	06/19/20 B	541,301	1.000	0	541,301-	541,301	
22831106	06/22/20 B	41,563	1.000	0	41,563-	41,563	
22831106	06/25/20 B	398,105	1.000	0	398,105-	398,105	
22831106	06/25/20 B	785,026	1.000	0	785,026-	785,026	
22831106	06/30/20 B	1,025	1.000	0	1,025-	1,025	
22831106	07/01/20 B	25	1.000	0	25-	25	
22831106	07/02/20 B	78,331	1.000	0	78,331-	78,331	
22831106	07/07/20 B	1,499	1.000	0	1,499-	1,499	
22831106	07/08/20 B	257,988	1.000	0	257,988-	257,988	
22831106	07/08/20 B	1,094	1.000	0	1,094-	1,094	
22831106	07/10/20 B	173,938	1.000	0	173,938-	173,938	
22831106	07/13/20 B	3,961	1.000	0	3,961-	3,961	
22831106	07/14/20 B	3,281	1.000	0	3,281-	3,281	
22831106	07/15/20 B	167,399	1.000	0	167,399-	167,399	
22831106	07/16/20 B	838	1.000	0	838-	838	
22831106	07/17/20 B	17,522	1.000	0	17,522-	17,522	
22831106	07/17/20 B	1,374	1.000	0	1,374-	1,374	
22831106	07/20/20 B	7,051	1.000	0	7,051-	7,051	
22831106	07/21/20 B	200,836	1.000	0	200,836-	200,836	
22831106	07/22/20 B	5,375	1.000	0	5,375-	5,375	
22831106	07/23/20 B	15,206	1.000	0	15,206-	15,206	
22831106	07/24/20 B	49,998	1.000	0	49,998-	49,998	
22831106	07/27/20 B	2,317	1.000	0	2,317-	2,317	
22831106	07/28/20 B	463,660	1.000	0	463,660-	463,660	
22831106	07/29/20 B	11,315	1.000	0	11,315-	11,315	
22831106	07/29/20 B	656	1.000	0	656-	656	
22831106	07/31/20 B	387,997	1.000	0	387,997-	387,997	
22831106	08/03/20 B	371,908	1.000	0	371,908-	371,908	
22831106	08/05/20 B	632,405	1.000	0	632,405-	632,405	
22831106	08/10/20 B	13,747	1.000	0	13,747-	13,747	
22831106	08/12/20 B	1,279,099	1.000	0	1,279,099-	1,279,099	
22831106	08/13/20 B	7,849	1.000	0	7,849-	7,849	
22831106	08/14/20 B	585,930	1.000	0	585,930-	585,930	
22831106	08/17/20 B	57,391	1.000	0	57,391-	57,391	
22831106	08/17/20 B	1,121	1.000	0	1,121-	1,121	
22831106	08/20/20 B	2,269	1.000	0	2,269-	2,269	
22831106	08/24/20 B	518,638	1.000	0	518,638-	518,638	
22831106	08/25/20 B	5,600	1.000	0	5,600-	5,600	

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
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ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	08/25/20 B	785	1.000	0	785-	785	
22831106	08/26/20 B	4,989	1.000	0	4,989-	4,989	
22831106	08/28/20 B	1,022	1.000	0	1,022-	1,022	
22831106	08/31/20 B	243,009	1.000	0	243,009-	243,009	
22831106	09/01/20 B	46,123	1.000	0	46,123-	46,123	
22831106	09/03/20 B	282,056	1.000	0	282,056-	282,056	
22831106	09/08/20 B	14,788	1.000	0	14,788-	14,788	
22831106	09/08/20 B	1,549	1.000	0	1,549-	1,549	
22831106	09/09/20 B	1,131	1.000	0	1,131-	1,131	
22831106	09/14/20 B	12,063	1.000	0	12,063-	12,063	
22831106	09/15/20 B	2,079,301	1.000	0	2,079,301-	2,079,301	
22831106	09/15/20 B	606,542	1.000	0	606,542-	606,542	
22831106	09/17/20 B	1,200	1.000	0	1,200-	1,200	
22831106	09/17/20 B	8,105	1.000	0	8,105-	8,105	
22831106	09/21/20 B	3,829	1.000	0	3,829-	3,829	
22831106	09/22/20 B	41,563	1.000	0	41,563-	41,563	
22831106	09/24/20 B	14,724	1.000	0	14,724-	14,724	
22831106	09/25/20 B	20,716	1.000	0	20,716-	20,716	
22831106	09/25/20 B	785	1.000	0	785-	785	
22831106	09/28/20 B	118,326	1.000	0	118,326-	118,326	
22831106	09/30/20 B	1,021	1.000	0	1,021-	1,021	
SUB-TOTAL OF BUYS # 242				0	32,139,170	32,139,170	
22831100	10/01/19 S	252,926	1.000	0	252,926	252,926	0
22831100	10/07/19 S	540	1.000	0	540	540	0
22831100	10/08/19 S	2,138	1.000	0	2,138	2,138	0
22831100	10/21/19 S	17,755	1.000	0	17,755	17,755	0
22831100	10/24/19 S	3,609	1.000	0	3,609	3,609	0
22831100	10/25/19 S	2,277	1.000	0	2,277	2,277	0
22831100	10/29/19 S	44,638	1.000	0	44,638	44,638	0
22831100	11/01/19 S	66,657	1.000	0	66,657	66,657	0
22831100	11/04/19 S	1,287	1.000	0	1,287	1,287	0
22831100	11/06/19 S	305	1.000	0	305	305	0
22831100	11/20/19 S	2,926	1.000	0	2,926	2,926	0
22831100	11/22/19 S	10	1.000	0	10	10	0
22831100	12/02/19 S	262,016	1.000	0	262,016	262,016	0
22831100	12/19/19 S	644	1.000	0	644	644	0
22831100	12/20/19 S	8,005	1.000	0	8,005	8,005	0
22831100	01/02/20 S	265,663	1.000	0	265,663	265,663	0
22831100	01/08/20 S	11	1.000	0	11	11	0
22831100	01/10/20 S	104,029	1.000	0	104,029	104,029	0
22831100	01/16/20 S	257	1.000	0	257	257	0
22831100	01/17/20 S	357	1.000	0	357	357	0
22831100	01/21/20 S	17,618	1.000	0	17,618	17,618	0
22831100	01/23/20 S	2,389	1.000	0	2,389	2,389	0

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831100	01/27/20 S	9,500	1.000	0	9,500	9,500	0
22831100	02/03/20 S	264,917	1.000	0	264,917	264,917	0
22831100	02/07/20 S	1,249	1.000	0	1,249	1,249	0
22831100	02/10/20 S	43,396	1.000	0	43,396	43,396	0
22831100	02/14/20 S	192	1.000	0	192	192	0
22831100	02/21/20 S	794	1.000	0	794	794	0
22831100	02/24/20 S	9,250	1.000	0	9,250	9,250	0
22831100	03/02/20 S	264,957	1.000	0	264,957	264,957	0
22831100	03/23/20 S	3,904	1.000	0	3,904	3,904	0
22831100	03/25/20 S	3,937	1.000	0	3,937	3,937	0
22831100	04/01/20 S	267,145	1.000	0	267,145	267,145	0
22831100	04/08/20 S	9,250	1.000	0	9,250	9,250	0
22831100	04/09/20 S	12	1.000	0	12	12	0
22831100	04/17/20 S	2,323	1.000	0	2,323	2,323	0
22831100	04/20/20 S	19,512	1.000	0	19,512	19,512	0
22831100	04/24/20 S	5,691	1.000	0	5,691	5,691	0
22831100	05/01/20 S	272,848	1.000	0	272,848	272,848	0
22831100	05/04/20 S	3,466	1.000	0	3,466	3,466	0
22831100	05/13/20 S	400	1.000	0	400	400	0
22831100	05/21/20 S	4,801	1.000	0	4,801	4,801	0
22831100	05/22/20 S	3,418	1.000	0	3,418	3,418	0
22831100	05/26/20 S	43,438	1.000	0	43,438	43,438	0
22831100	06/01/20 S	279,504	1.000	0	279,504	279,504	0
22831100	06/23/20 S	2,373	1.000	0	2,373	2,373	0
22831100	07/01/20 S	280,753	1.000	0	280,753	280,753	0
22831100	07/02/20 S	660	1.000	0	660	660	0
22831100	07/08/20 S	93,371	1.000	0	93,371	93,371	0
22831100	07/20/20 S	18,869	1.000	0	18,869	18,869	0
22831100	07/20/20 S	9,250	1.000	0	9,250	9,250	0
22831100	07/22/20 S	686	1.000	0	686	686	0
22831100	07/22/20 S	43,438	1.000	0	43,438	43,438	0
22831100	07/23/20 S	2,776	1.000	0	2,776	2,776	0
22831100	07/24/20 S	7,966	1.000	0	7,966	7,966	0
22831100	08/03/20 S	292,356	1.000	0	292,356	292,356	0
22831100	08/06/20 S	520	1.000	0	520	520	0
22831100	08/20/20 S	45,608	1.000	0	45,608	45,608	0
22831100	08/25/20 S	4,912	1.000	0	4,912	4,912	0
22831100	08/28/20 S	2,071	1.000	0	2,071	2,071	0
22831100	09/01/20 S	293,970	1.000	0	293,970	293,970	0
22831100	09/02/20 S	11,729	1.000	0	11,729	11,729	0
22831100	09/08/20 S	311	1.000	0	311	311	0
22831100	09/21/20 S	7,287	1.000	0	7,287	7,287	0
22831100	09/24/20 S	5,244	1.000	0	5,244	5,244	0
22831104	02/18/20 S	105,000	1.000	0	105,000	105,000	0
22831104	04/01/20 S	2,259,984	1.000	0	2,259,984	2,259,984	0
22831104	04/01/20 S	150,000	1.000	0	150,000	150,000	0

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ALLISON HOURLY CONSOLIDATED
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TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831104	04/02/20 S	670,000	1.000	0	670,000	670,000	0
22831104	06/25/20 S	1,192,000	1.000	0	1,192,000	1,192,000	0
22831106	10/03/19 S	6,416	1.000	0	6,416	6,416	0
22831106	10/16/19 S	401,846	1.000	0	401,846	401,846	0
22831106	10/21/19 S	395,403	1.000	0	395,403	395,403	0
22831106	10/22/19 S	17,420	1.000	0	17,420	17,420	0
22831106	10/23/19 S	52,652	1.000	0	52,652	52,652	0
22831106	11/01/19 S	210,426	1.000	0	210,426	210,426	0
22831106	11/01/19 S	250,000	1.000	0	250,000	250,000	0
22831106	11/04/19 S	29,651	1.000	0	29,651	29,651	0
22831106	11/05/19 S	51,397	1.000	0	51,397	51,397	0
22831106	11/06/19 S	111,316	1.000	0	111,316	111,316	0
22831106	11/07/19 S	104,612	1.000	0	104,612	104,612	0
22831106	11/12/19 S	2,058,000	1.000	0	2,058,000	2,058,000	0
22831106	11/15/19 S	105,032	1.000	0	105,032	105,032	0
22831106	11/18/19 S	283,342	1.000	0	283,342	283,342	0
22831106	11/25/19 S	16,529	1.000	0	16,529	16,529	0
22831106	12/04/19 S	65,518	1.000	0	65,518	65,518	0
22831106	12/09/19 S	116,002	1.000	0	116,002	116,002	0
22831106	12/18/19 S	492,587	1.000	0	492,587	492,587	0
22831106	12/19/19 S	234,960	1.000	0	234,960	234,960	0
22831106	01/08/20 S	622	1.000	0	622	622	0
22831106	01/13/20 S	215,608	1.000	0	215,608	215,608	0
22831106	01/16/20 S	440,641	1.000	0	440,641	440,641	0
22831106	01/23/20 S	179,885	1.000	0	179,885	179,885	0
22831106	01/24/20 S	179,309	1.000	0	179,309	179,309	0
22831106	01/29/20 S	74,938	1.000	0	74,938	74,938	0
22831106	02/04/20 S	24,164	1.000	0	24,164	24,164	0
22831106	02/05/20 S	3,903	1.000	0	3,903	3,903	0
22831106	02/12/20 S	188,976	1.000	0	188,976	188,976	0
22831106	02/18/20 S	929,553	1.000	0	929,553	929,553	0
22831106	02/25/20 S	451,198	1.000	0	451,198	451,198	0
22831106	02/27/20 S	58,659	1.000	0	58,659	58,659	0
22831106	03/05/20 S	5,791	1.000	0	5,791	5,791	0
22831106	03/10/20 S	9,556	1.000	0	9,556	9,556	0
22831106	03/12/20 S	219,804	1.000	0	219,804	219,804	0
22831106	03/17/20 S	223,623	1.000	0	223,623	223,623	0
22831106	03/18/20 S	33	1.000	0	33	33	0
22831106	03/31/20 S	1,537,224	1.000	0	1,537,224	1,537,224	0
22831106	04/02/20 S	3,361	1.000	0	3,361	3,361	0
22831106	04/13/20 S	437,385	1.000	0	437,385	437,385	0
22831106	04/16/20 S	237,722	1.000	0	237,722	237,722	0
22831106	04/28/20 S	28,488	1.000	0	28,488	28,488	0
22831106	04/30/20 S	289,490	1.000	0	289,490	289,490	0
22831106	05/04/20 S	707	1.000	0	707	707	0
22831106	05/11/20 S	220,583	1.000	0	220,583	220,583	0

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**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	05/21/20 S	397,025	1.000	0	397,025	397,025	0
22831106	05/27/20 S	542,541	1.000	0	542,541	542,541	0
22831106	05/28/20 S	329,380	1.000	0	329,380	329,380	0
22831106	05/29/20 S	4,173	1.000	0	4,173	4,173	0
22831106	06/04/20 S	92,569	1.000	0	92,569	92,569	0
22831106	06/05/20 S	760	1.000	0	760	760	0
22831106	06/15/20 S	266,567	1.000	0	266,567	266,567	0
22831106	06/22/20 S	260,133	1.000	0	260,133	260,133	0
22831106	06/23/20 S	493,694	1.000	0	493,694	493,694	0
22831106	06/24/20 S	223,247	1.000	0	223,247	223,247	0
22831106	06/25/20 S	357,438	1.000	0	357,438	357,438	0
22831106	06/29/20 S	160,414	1.000	0	160,414	160,414	0
22831106	06/30/20 S	581,236	1.000	0	581,236	581,236	0
22831106	07/09/20 S	314,419	1.000	0	314,419	314,419	0
22831106	07/10/20 S	183,579	1.000	0	183,579	183,579	0
22831106	07/16/20 S	303,384	1.000	0	303,384	303,384	0
22831106	07/16/20 S	42	1.000	0	42	42	0
22831106	07/22/20 S	296,350	1.000	0	296,350	296,350	0
22831106	07/27/20 S	91,995	1.000	0	91,995	91,995	0
22831106	07/28/20 S	502,874	1.000	0	502,874	502,874	0
22831106	07/30/20 S	51,893	1.000	0	51,893	51,893	0
22831106	08/04/20 S	326,082	1.000	0	326,082	326,082	0
22831106	08/05/20 S	521,051	1.000	0	521,051	521,051	0
22831106	08/06/20 S	71,139	1.000	0	71,139	71,139	0
22831106	08/07/20 S	48,286	1.000	0	48,286	48,286	0
22831106	08/12/20 S	338,554	1.000	0	338,554	338,554	0
22831106	08/18/20 S	208,329	1.000	0	208,329	208,329	0
22831106	08/18/20 S	136,910	1.000	0	136,910	136,910	0
22831106	08/19/20 S	279,784	1.000	0	279,784	279,784	0
22831106	08/20/20 S	167,254	1.000	0	167,254	167,254	0
22831106	08/21/20 S	234,443	1.000	0	234,443	234,443	0
22831106	08/24/20 S	452,133	1.000	0	452,133	452,133	0
22831106	08/25/20 S	447,827	1.000	0	447,827	447,827	0
22831106	09/03/20 S	169,829	1.000	0	169,829	169,829	0
22831106	09/10/20 S	255,811	1.000	0	255,811	255,811	0
22831106	09/16/20 S	2,952,386	1.000	0	2,952,386	2,952,386	0
22831106	09/17/20 S	273,646	1.000	0	273,646	273,646	0
SUB-TOTAL OF SALES # 151				0	31,372,604	31,372,604	0
SUB-TOTAL				0	63,511,774	63,511,774	0
GRAND TOTAL				0	63,511,774	63,511,774	0



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
Attachments to Schedule H (2019 Form 5500)
Schedule H, Line 4j - Schedule of Reportable Transactions

PAGE 1117

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020

ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
------------------------	---------------------	----------------------	---------------	---------------------	-------------------	---------------------	-----------------------

F O O T N O T E S

* = SINGLE TRANSACTION IS 5% REPORTABLE
B = BUY TRANSACTION
S = SELL TRANSACTION
R = REINVESTMENT TRANSACTION



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
 Attachments to Schedule H (2019 Form 5500)
 Schedule H, Line 4j - Schedule of Reportable Transactions

PAGE 1118

**REPORTABLE TRANSACTIONS - SINGLE / BY BROKER
FOR THE PERIOD OCTOBER 1, 2019 THROUGH SEPTEMBER 30, 2020**

**ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
	BEGINNING MARKET VALUE		106,924,507.93				
	COMPARATIVE VALUE (5%)		5,346,225.40				

*** NO TRANSACTIONS QUALIFIED FOR THIS REPORT ***

FOOTNOTES

* = SINGLE TRANSACTION IS 5% REPORTABLE
B = BUY TRANSACTION
S = SELL TRANSACTION
R = REINVESTMENT TRANSACTION

**SCHEDULE SB
(Form 5500)**Department of the Treasury
Internal Revenue Service
Department of Labor
Employee Benefits Security Administration
Pension Benefit Guaranty Corporation**Single-Employer Defined Benefit Plan
Actuarial Information**

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).

▶ File as an attachment to Form 5500 or 5500-SF.

OMB No. 1210-0110

2019**This Form is Open to Public
Inspection**

For calendar plan year 2019 or fiscal plan year beginning 10/01/2019 and ending 09/30/2020

▶ Round off amounts to nearest dollar.

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

A Name of plan Allison Transmission Hourly-Rate Employees Pension Plan	B Three-digit plan number (PN) ▶ 004
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF Allison Transmission, Inc.	D Employer Identification Number (EIN) 26-0413897
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500

Part I Basic Information

1 Enter the valuation date: Month 10 Day 01 Year 2019			
2 Assets:			
a Market value.....	2a	106,924,508	
b Actuarial value.....	2b	106,924,508	
3 Funding target/participant count breakdown	(1) Number of participants	(2) Vested Funding Target	(3) Total Funding Target
a For retired participants and beneficiaries receiving payment.....	510	36,573,550	36,573,550
b For terminated vested participants.....	128	2,973,188	2,973,188
c For active participants.....	532	36,795,192	38,001,047
d Total.....	1,170	76,341,930	77,547,785
4 If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐			
a Funding target disregarding prescribed at-risk assumptions.....	4a		
b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor.....	4b		
5 Effective interest rate.....	5	5.57%	
6 Target normal cost.....	6	2,396,227	

Statement by Enrolled Actuary

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

SIGN HERE	David L. Jakes <i>sig</i>	7/7/2021
Signature of actuary		Date
David L. Jakes, FSA, EA, MAAA		2005110
Type or print name of actuary		Most recent enrollment number
Mercer		614-227-5555
Firm name		Telephone number (including area code)
325 John H McConnell Blvd Suite 350 Columbus OH 43215		
Address of the firm		

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

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

Schedule SB (Form 5500) 2019
v. 190130

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

Part II		Beginning of Year Carryover and Prefunding Balances	
		(a) Carryover balance	(b) Prefunding balance
7	Balance at beginning of prior year after applicable adjustments (line 13 from prior year).....	0	0
8	Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	0
9	Amount remaining (line 7 minus line 8).....	0	0
10	Interest on line 9 using prior year's actual return of <u>15.19%</u>	0	0
11	Prior year's excess contributions to be added to prefunding balance:		
a	Present value of excess contributions (line 38a from prior year).....		0
b(1)	Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.75%</u>		0
b(2)	Interest on line 38b from prior year Schedule SB, using prior year's actual return.....		0
c	Total available at beginning of current plan year to add to prefunding balance.....		0
d	Portion of (c) to be added to prefunding balance.....		0
12	Other reductions in balances due to elections or deemed elections.....	0	0
13	Balance at beginning of current year (line 9 + line 10 + line 11d – line 12).....	0	0

Part III	Funding Percentages
----------	---------------------

Part III	Funding Percentages		
14	Funding target attainment percentage	14	137.88%
15	Adjusted funding target attainment percentage.....	15	137.88%
16	Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	134.78%
17	If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage.	17	%

Part IV	Contributions and Liquidity Shortfalls
----------------	---

18 Contributions made to the plan for the plan year by employer(s) and employees:

18 Contributions made to the plan for the plan year by employer(s) and employees.						
(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	
			Totals ►	18(b)	0	18(c) 0

19 Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year.

Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of 2013			
a	Contributions allocated toward unpaid minimum required contributions from prior years	19a	0
b	Contributions made to avoid restrictions adjusted to valuation date	19b	0
c	Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	0

20 Quarterly contributions and liquidity shortfalls:

a Did the plan have a "funding shortfall" for the prior year?..... ☐ Yes ☒ No

b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? ☐ Yes ☐ No

C If line 20a is "Yes," see instructions and complete the following table as applicable:

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

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

21 Discount rate:			
a Segment rates:	1st segment: 3.74 %	2nd segment: 5.35 %	3rd segment: 6.11 %
			☐ N/A, full yield curve used
b Applicable month (enter code).....			21b 0
22 Weighted average retirement age			22 62
23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute			

Part VI Miscellaneous Items

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

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

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

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):			
a Target normal cost (line 6)	31a	2,396,227	
b Excess assets, if applicable, but not greater than line 31a	31b	2,396,227	
32 Amortization installments:	Outstanding Balance	Installment	
a Net shortfall amortization installment	0	0	
b Waiver amortization installment	0	0	
33 If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount	33		
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33)	34	0	
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement			0
36 Additional cash requirement (line 34 minus line 35)	36	0	
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c)	37	0	
38 Present value of excess contributions for current year (see instructions)			
a Total (excess, if any, of line 37 over line 36)	38a	0	
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances	38b	0	
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)	39	0	
40 Unpaid minimum required contributions for all years	40	0	

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

41 If an election was made to use PRA 2010 funding relief for this plan:	
a Schedule elected	☐ 2 plus 7 years ☐ 15 years
b Eligible plan year(s) for which the election in line 41a was made	☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

Schedule SB, line 22 — Description of Weighted Average Retirement Age

Each employee is assumed to retire in accordance with the table of retirement rates. The proportion of employees expected to retire at each potential retirement age is shown below (based on ultimate retirement rates). The average retirement age is 62.

(A) Retirement age	(B) Retirement percent	(C) Lx	(D) Number of employees expected to retire = (B) x (C)	(E) = (A) x (D)
50	5.00%	10,000	500	25,000
51	5.00%	9,500	475	24,225
52	5.00%	9,025	451	23,465
53	5.00%	8,574	429	22,720
54	5.00%	8,145	407	21,992
55	5.00%	7,738	387	21,279
56	5.00%	7,351	368	20,583
57	5.00%	6,983	349	19,903
58	5.00%	6,634	332	19,239
59	5.00%	6,302	315	18,592
60	5.00%	5,987	299	17,962
61	5.00%	5,688	284	17,348
62	10.00%	5,404	540	33,502
63	10.00%	4,863	486	30,638
64	10.00%	4,377	438	28,012
65	10.00%	3,939	394	25,605
66	10.00%	3,545	355	23,399
67	10.00%	3,191	319	21,378
68	10.00%	2,872	287	19,528
69	10.00%	2,585	258	17,833
70+	100.00%	2,326	2,326	162,825
Total			10,000	615,028
Average				61.50

Schedule SB, Part V — Summary of Plan Provisions

SUMMARY OF MAJOR PLAN PROVISIONS

Effective date and plan year	Original plan: August 7, 2007 Restated: ATI-UAW Collective Bargaining Agreement (effective December 18, 2017) Plan year: October 1 – September 30 (first plan year is 8/7/2007 – 9/30/2007)						
Most recent amendment	Amendment Number Two (executed September 17, 2018)						
DEFINITIONS							
• Covered employees	Tier I hourly-rate employees covered by the collective bargaining agreement who have attained seniority. Hourly-rate employees hired after February 1, 2008 (Tier II) are not covered by this plan.						
• Participation	Participants become vested at the earlier of 5 elapsed years (from date of hire) in which at least 750 hours are worked during the year or 5 years of credited service.						
• Credited service	Participants receive 1/10th of a year of Credited Service for every 170 hours worked in a calendar year to a maximum annual credit of 1 year of Credited Service per year. Credited Service with GM counts toward eligibility and vesting, but not benefit accrual.						
NORMAL RETIREMENT							
• Eligibility	Age 65 with one year of service						
• Benefit	Applicable Job Classification Code multiplier times Credited Service						
	Benefit Class Code	8/7/2007 through 9/1/2007	10/1/2007 through 9/1/2008	10/1/2008 through 9/1/2009	10/1/2009 through 9/1/2010	10/1/2010 through 9/1/2011	10/1/2011 and after
	A	\$50.90	\$52.90	\$53.10	\$53.30	\$53.55	\$55.70
	B	\$51.15	\$53.15	\$53.35	\$53.55	\$53.80	\$55.95
	C	\$51.40	\$53.40	\$53.60	\$53.80	\$54.05	\$56.20
	D	\$51.65	\$53.65	\$53.85	\$54.05	\$54.30	\$56.45

Schedule SB, Part V — Summary of Plan Provisions

EARLY RETIREMENT							
• Eligibility	Earliest of age 60 with 5 years of service, age 55 with 85 age/service points, and 30 years of service						
• Benefit	Normal Retirement Benefit reduced for retirement before age 62. In addition to the Normal Retirement Benefit, a supplement is payable until age 62 and one month (or if the retiree is born from 1938 to November 15, 1961, until the retiree is eligible for 80% Social Security). For retirees with less than 30 years of service, the supplement is the applicable interim multiplier times years of service. For retirees with 30 years of service, the benefit is a fixed monthly amount which together with the early retirement benefit provides a total benefit equal to the amount listed below (prorated based on service with GM).						
Interim Supplement	8/7/2007 through 9/1/2007	10/1/2007 through 9/1/2008	10/1/2008 through 9/1/2009	10/1/2009 through 9/1/2010	10/1/2010 through 9/1/2011	10/1/2011 and after	
55	\$21.90	\$22.35	\$22.45	\$22.55	\$22.60	\$23.50	
56	\$25.85	\$26.35	\$26.50	\$26.60	\$26.70	\$27.75	
57	\$31.25	\$31.90	\$32.00	\$32.15	\$32.25	\$33.55	
58	\$36.60	\$37.35	\$37.50	\$37.65	\$37.80	\$39.30	
59	\$40.85	\$41.65	\$41.85	\$42.00	\$42.20	\$43.90	
60	\$47.30	\$48.25	\$48.45	\$48.65	\$48.85	\$50.80	
61	\$47.30	\$48.25	\$48.45	\$48.65	\$48.85	\$50.80	
30 & Out Supplement	\$3,020	\$3,140	\$3,150	\$3,160	\$3,170	\$3,300	
Additional UAW Supplemental Pension Appeal Decision		Retirees with 30 years of more of service receive \$130 (\$3,300 - \$3,170), prorated based on the ratio of GM Service to Total Service and paid from retirement until age 62 and one month (or until the retiree is eligible for 80% Social Security as applicable).					

Schedule SB, Part V — Summary of Plan Provisions

<ul style="list-style-type: none"> Early retirement factors 	Retirees with 30 years or more of service or 85 points have their benefits redetermined after age 62 and one month without any reduction.	
	Age	Percentage
	42	21.0%
	43	22.6%
	44	24.3%
	45	26.1%
	46	28.2%
	47	30.4%
	48	32.8%
	49	35.4%
	50	38.3%
	51	41.5%
	52	45.0%
	53	48.9%
	54	53.2%
	55	57.9%
	56	63.5%
	57	69.4%
	58	75.2%
	59	80.8%
	60	86.7%
	61	93.3%
	62 or over	100.0%
	Prorated for intermediate ages computed on the basis of the number of completed calendar months by which the participant is under the age attained at the participant's next birthday.	

Schedule SB, Part V — Summary of Plan Provisions

LUMP-SUM PAYMENTS																									
• Eligibility	Retired after October 1, 2011 under normal, early, or disability retirement																								
• Benefit	A maximum payment of \$700 will be made to retired employees with 30 or more years of credited service. The payment to retirees with less than 30 years of credited service will be \$23.3333 per year of credited service with Allison Transmission, Inc. (with a proportional amount for fractional years). Eligible surviving spouses will receive 65% of the amount payable to retiree. Payments are to be made December 2017, 2018, 2019, 2020, 2021, and 2022.																								
DEFERRED VESTED																									
• Eligibility	Vested upon termination.																								
• Benefit	Normal Retirement Benefit payable at Normal Retirement Age (reduced for early commencement) Early retirement factors are as follows																								
	<table> <tr> <th>Age</th><th>Percentage</th></tr> <tr> <td>55</td><td>42.8%</td></tr> <tr> <td>56</td><td>46.8%</td></tr> <tr> <td>57</td><td>51.2%</td></tr> <tr> <td>58</td><td>55.5%</td></tr> <tr> <td>59</td><td>59.6%</td></tr> <tr> <td>60</td><td>64.0%</td></tr> <tr> <td>61</td><td>71.2%</td></tr> <tr> <td>62</td><td>78.4%</td></tr> <tr> <td>63</td><td>85.6%</td></tr> <tr> <td>64</td><td>92.8%</td></tr> <tr> <td>65</td><td>100.0%</td></tr> </table>	Age	Percentage	55	42.8%	56	46.8%	57	51.2%	58	55.5%	59	59.6%	60	64.0%	61	71.2%	62	78.4%	63	85.6%	64	92.8%	65	100.0%
Age	Percentage																								
55	42.8%																								
56	46.8%																								
57	51.2%																								
58	55.5%																								
59	59.6%																								
60	64.0%																								
61	71.2%																								
62	78.4%																								
63	85.6%																								
64	92.8%																								
65	100.0%																								
	Prorated for intermediate ages computed on the basis of the number of complete calendar months by which the participant is under the age attained at the participant's next birthday.																								

Schedule SB, Part V — Summary of Plan Provisions

DISABILITY						
• Eligibility	Disabled after 10 years of service					
• Benefit	Normal Retirement Benefit as of the date of disability payable immediately (without reduction). In addition, a temporary benefit is paid until age 62 and one month based on the temporary multiplier times years of service.					
	8/7/2007 through 9/1/2007	10/1/2007 through 9/1/2008	10/1/2008 through 9/1/2009	10/1/2009 through 9/1/2010	10/1/2010 through 9/1/2011	10/1/2011 and after
Temporary benefit	\$49.80	\$50.80	\$51.00	\$51.20	\$51.40	\$53.45
PRE-RETIREMENT DEATH						
• Eligibility	Vested upon Participant's death					
• Benefit prior to early retirement	50% of the Normal Retirement Benefit is paid to the surviving spouse commencing on the first of the month following the month in which the employee would have been eligible to retire at the option of the employee.					
• Benefit after early but before normal retirement	65% of the Normal Retirement Benefit is paid to the surviving spouse commencing on the first of the month following the month in which the employee would have been eligible to retire at the option of the employee.					
FORM OF BENEFITS						
• Automatic form for unmarried participants	Life annuity					
• Automatic form for married participants	65% joint and survivor annuity					
	Benefit is 95% of the monthly basic benefit if the spouse's age is within 5 years of the participant's age. Such percentage is increased by one half of one percent (1/2%) (up to a maximum of 100%) for each 12 months in excess of 5 years that the spouse's age exceeds the participant's age and decreased by one-half of one percent (1/2%) for each 12 months in excess of 5 years that the spouse's age is less than the participant's age.					
• Optional forms	Contingent Annuitant annuity in any designated percentage (in 5% increments) up to 100%					
• Optional form conversion factors	Fixed factors based on the age difference between the participant and contingent beneficiary are used to convert the accrued benefit to the optional form					
MISCELLANEOUS						
• Maximum benefits	Annual benefits may not exceed the limits in IRC Section 415. This limit is indexed annually. For 2019, the limit is \$225,000.					
• Actuarial equivalence	Based on IRC Section 417(e)(3) interest rates and mortality.					

Benefits Included or Excluded

Unless noted below, all benefits provided by the plan are included in this valuation:

Schedule SB, Part V — Summary of Plan Provisions

- **Most recent plan amendments included:** Amendment Number Two (executed September 17, 2018).
- **Plan amendments excluded:** None
- **Late retirement increases:**
 - Active participants: The plan provides benefit suspension notices to participants who work beyond normal retirement; therefore, late retirement actuarial increases only apply to participants who defer retirement beyond age 70½. This valuation includes increases for current participants over age 70.
 - Deferred vested participants: Current deferred vested participants over normal retirement age are valued including the late retirement actuarial increase.
- **Internal Revenue Code limitations:** The limitations of Internal Revenue Code Section 415(b) and 401(a)(17) have been incorporated into our calculations.
- **IRC Section 416 rules for top-heavy plans:** We did not test whether this plan is top-heavy (when the present value of benefits for key employees equals or exceeds 60% of the present value for all participants). Because of this plan's status as a collectively bargained plan, the plan cannot be top-heavy.

Additional Benefits Included or Excluded

- **IRC Section 436 benefit restrictions:**
 - *Unpredictable contingent event benefits:* Not applicable.
 - *Plan amendments:* See above.
 - *Prohibited payments:* Limitations on prohibited benefits (if any) are reflected for annuity starting dates before the valuation date but are ignored for annuity starting dates on or after the valuation date.
 - *Benefit accruals:* The plan's funding target does not reflect any limitation on benefit accruals. The target normal cost does not reflect any limitation on benefit accruals.
- **Scheduled benefit increases:** Scheduled benefit increases effective after the end of the current plan year are excluded from minimum funding requirements.
- **Unpredictable contingent event benefits:** The plan does not have any unpredictable contingent event benefits.

PLAN PROVISION CHANGES SINCE PRIOR VALUATION

For all purposes, maximum benefit amounts under IRS rules were updated from 2018 to 2019.

ASSET DETAIL REVALUED COST
AS OF SEPTEMBER 30, 2020ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	US TREASURY BOND DTD 11/15/16 0.000 11/15/2046 CUSIP 912834QV3					
700,000.000	ALLISON TRANS-RYAN LABS	54.8630	384,041.00	66.4880	465,416.00	81,375.00
700,000.000	TOTAL US TREASURY BOND	11/15/46	384,041.00		465,416.00	81,375.00
	US TREASURY BOND DTD 11/15/19 0.000 11/15/2049 CUSIP 912834VE5					
5,775,000.000	ALLISON TRANS-RYAN LABS	64.7650	3,740,178.75	63.4820	3,666,085.50	74,093.25-
5,775,000.000	TOTAL US TREASURY BOND	11/15/49	3,740,178.75		3,666,085.50	74,093.25-
	US TREASURY BOND DTD 06/01/20 1.125 05/15/2040 CUSIP 912810SR0					
750,000.000	ALLISON TRANS-RYAN LABS	103.2070	774,052.73	98.6090	739,567.50	34,485.23-
750,000.000	TOTAL US TREASURY BOND	1.125% 5/15/40	774,052.73		739,567.50	34,485.23-
	US TREASURY BOND DTD 05/15/20 1.250 05/15/2050 CUSIP 912810SN9					
480,000.000	ALLISON TRANS-RYAN LABS	94.8882	455,463.28	95.0630	456,302.40	839.12
480,000.000	TOTAL US TREASURY BOND	1.250% 5/15/50	455,463.28		456,302.40	839.12
	US TREASURY BOND DTD 02/18/20 2.000 02/15/2050 CUSIP 912810SL3					
300,000.000	ALLISON TRANS-RYAN LABS	117.3062	351,918.62	113.4530	340,359.00	11,559.62-
300,000.000	TOTAL US TREASURY BOND	2.000% 2/15/50	351,918.62		340,359.00	11,559.62-
	US TREASURY BOND DTD 05/15/10 4.375 05/15/2040 CUSIP 912810QH4					
200,000.000	ALLISON TRANS-RYAN LABS	162.0781	324,156.24	157.2340	314,468.00	9,688.24-
200,000.000	TOTAL US TREASURY BOND	4.375% 5/15/40	324,156.24		314,468.00	9,688.24-

ASSET DETAIL REVALUED COST
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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	US TREASURY NOTE DTD 08/17/20 0.625 08/15/2030 CUSIP 91282CAE1					
520,000.000	ALLISON TRANS-RYAN LABS	99.5391	517,603.13	99.5000	517,400.00	203.13-
520,000.000	TOTAL US TREASURY NOTE 0.625% 8/15/30		517,603.13		517,400.00	203.13-
	TOTAL US TREASURY NOTES AND BONDS		6,547,413.75		6,499,598.40	47,815.35-
	GOVT STRIPPED AND ZERO-COUPON					
	US TREASURY BOND/NOTE STRIPPED ZERO DTD 11/16/09 11/15/2039 CUSIP 912834EV6					
3,735,000.000	ALLISON TRANS-RYAN LABS	65.5680	2,448,964.80	77.5710	2,897,276.85	448,312.05
3,230,000.000	ALLISON TRANS-RYAN LABS	62.0740	2,004,990.20	74.2040	2,396,789.20	391,799.00
6,965,000.000	TOTAL US TREAS SEC STRIPPED		4,453,955.00		5,294,066.05	840,111.05
	US TREASURY BOND STRIPPED ZERO CPN DTD 05/15/14 05/15/2044 CUSIP 912834NP9					
2,000,000.000	ALLISON TRANS-RYAN LABS	58.1650	1,163,300.00	69.9380	1,398,760.00	235,460.00
2,000,000.000	TOTAL US TREAS SEC STRIPPED 5/15/44		1,163,300.00		1,398,760.00	235,460.00
	US TREAS SEC STRIPPED ZERO CPN DTD 05/16/16 05/15/2046 CUSIP 912834QH4					
270,000.000	ALLISON TRANS-RYAN LABS	55.3730	149,507.10	67.1950	181,426.50	31,919.40
270,000.000	TOTAL US TREAS SEC STRIPPED 5/15/46		149,507.10		181,426.50	31,919.40
	US TREAS SEC STRIPPED DTD 08/15/17 08/15/2047 CUSIP 912834RR1					
3,800,000.000	ALLISON TRANS-RYAN LABS	53.9990	2,051,962.00	65.4320	2,486,416.00	434,454.00
3,800,000.000	TOTAL US TREAS SEC STRIPPED 8/15/47		2,051,962.00		2,486,416.00	434,454.00

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	US TREASURY BOND STRIPPED ZERO CPN DTD 11/17/14 11/15/2044 CUSIP 912834PB8					
1,680,000.000	ALLISON TRANS-RYAN LABS	57.3380	963,278.40	69.5330	1,168,154.40	204,876.00
1,680,000.000	TOTAL US TREAS SEC STRIPPED 11/15/44		963,278.40		1,168,154.40	204,876.00
	US TREASURY BOND STRIPPED ZERO CPN DTD 11/16/15 11/15/2045 CUSIP 912834PT9					
2,510,000.000	ALLISON TRANS-RYAN LABS	56.0040	1,405,700.40	67.9110	1,704,566.10	298,865.70
2,510,000.000	TOTAL US TREAS SEC STRIPPED 11/15/2045		1,405,700.40		1,704,566.10	298,865.70
	US TREASURY BOND ZERO CPN DTD 11/15/10 11/15/2040 CUSIP 912834JH2					
3,450,000.000	ALLISON TRANS-RYAN LABS	63.8180	2,201,721.00	75.8440	2,616,618.00	414,897.00
3,450,000.000	TOTAL US TREASURY BOND 11/15/40		2,201,721.00		2,616,618.00	414,897.00
	US TREASURY BOND ZERO CPN DTD 11/15/12 0.000 11/15/2042 CUSIP 912834LX4					
3,165,000.000	ALLISON TRANS-RYAN LABS	60.3720	1,910,773.80	73.4880	2,325,895.20	415,121.40
3,165,000.000	TOTAL US TREASURY BOND 11/15/42		1,910,773.80		2,325,895.20	415,121.40
	TOTAL GOVT STRIPPED AND ZERO-COUPON		14,300,197.70		17,175,902.25	2,875,704.55
	MUNICIPAL TAXABLE BONDS					
	CALIFORNIA ST BUILD AMERICA BONDS DTD 10/15/09 7.300 10/01/2039 CUSIP 13063A7D0					
335,000.000	ALLISON TRANS-RYAN LABS	157.6526	528,136.20	164.2260	550,157.10	22,020.90
335,000.000	TOTAL CALIFORNIA ST 7.300% 10/01/39		528,136.20		550,157.10	22,020.90

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	UNIVERSITY CALIF REVS BUILD AMERICA BONDS DTD 09/30/10 5.946 05/15/2045 CUSIP 91412GDZ5					
205,000.000	ALLISON TRANS-RYAN LABS	138.9660	284,880.30	148.8190	305,078.95	20,198.65
205,000.000	TOTAL UNIVERSITY CALIF REV 5.946% 5/15/45		284,880.30		305,078.95	20,198.65
	TOTAL MUNICIPAL TAXABLE BONDS		813,016.50		855,236.05	42,219.55
	CORPORATE BONDS					
	ABBVIE INC DTD 05/14/15 3.200 11/06/2022 CUSIP 00287YAP4					
210,000.000	ALLISON TRANS-RYAN LABS	102.5700	215,397.00	105.3180	221,167.80	5,770.80
210,000.000	TOTAL ABBVIE INC 3.200% 11/06/22		215,397.00		221,167.80	5,770.80
	ABBVIE INC DTD 09/18/18 4.250 11/14/2028 CUSIP 00287YBF5					
385,000.000	ALLISON TRANS-RYAN LABS	121.0320	465,973.20	118.6230	456,698.55	9,274.65-
385,000.000	TOTAL ABBVIE INC 4.250% 11/14/28		465,973.20		456,698.55	9,274.65-
	ACE INA HOLDINGS DTD 11/03/15 4.350 11/03/2045 CUSIP 00440EAW7					
205,000.000	ALLISON TRANS-RYAN LABS	125.8650	258,023.30	131.0430	268,638.15	10,614.85
205,000.000	TOTAL ACE INA HOLDINGS 4.350% 11/03/45		258,023.30		268,638.15	10,614.85
	AFLAC INC DTD 04/01/20 3.600 04/01/2030 CUSIP 001055BJ0					
210,000.000	ALLISON TRANS-RYAN LABS	101.6590	213,483.90	117.3540	246,443.40	32,959.50
210,000.000	TOTAL AFLAC INC 3.600% 4/01/30		213,483.90		246,443.40	32,959.50

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	ALIBABA GROUP HOLDING DTD 05/28/15 3.600 11/28/2024 CUSIP 01609WAQ5					
410,000.000	ALLISON TRANS-RYAN LABS	105.2170	431,389.70	109.8320	450,311.20	18,921.50
410,000.000	TOTAL ALIBABA GROUP HOLDIN 3.600% 11/28/24		431,389.70		450,311.20	18,921.50
	ALLSTATE CORP DTD 12/08/16 4.200 12/15/2046 CUSIP 020002BC4					
395,000.000	ALLISON TRANS-RYAN LABS	116.1350	458,733.25	124.8800	493,276.00	34,542.75
395,000.000	TOTAL ALLSTATE CORP 4.200% 12/15/46		458,733.25		493,276.00	34,542.75
	AMAZON.COM INC DTD 06/03/20 2.500 06/03/2050 CUSIP 023135BT2					
505,000.000	ALLISON TRANS-RYAN LABS	101.7363	513,768.40	102.0020	515,110.10	1,341.70
505,000.000	TOTAL AMAZON.COM INC 2.500% 6/03/50		513,768.40		515,110.10	1,341.70
	AMEREN ILLINOIS CO DTD 11/28/17 3.700 12/01/2047 CUSIP 02361DAR1					
775,000.000	ALLISON TRANS-RYAN LABS	108.6240	841,836.00	117.6690	911,934.75	70,098.75
775,000.000	TOTAL AMEREN ILLINOIS CO 3.700% 12/01/47		841,836.00		911,934.75	70,098.75
	AMERICA MOVIL SAB DE CV DTD 07/16/12 3.125 07/16/2022 CUSIP 02364WBD6					
505,000.000	ALLISON TRANS-RYAN LABS	102.5840	518,049.20	103.8070	524,225.35	6,176.15
505,000.000	TOTAL AMERICA MOVIL SAB DE 3.125% 7/16/22		518,049.20		524,225.35	6,176.15
	AMERICAN HONDA FINANCE MED TERM NOTE DTD 09/10/20 0.650 09/08/2023 CUSIP 02665WDM0					
130,000.000	ALLISON TRANS-RYAN LABS	99.9560	129,942.80	100.0340	130,044.20	101.40
130,000.000	TOTAL AMERICAN HONDA FINAN 0.650% 9/08/23		129,942.80		130,044.20	101.40

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	AMERICAN HONDA FINANCE MED TERM NOTE DTD 07/08/20 0.875 07/07/2023 CUSIP 02665WDK4					
140,000.000	ALLISON TRANS-RYAN LABS	99.9680	139,955.20	100.8230	141,152.20	1,197.00
140,000.000	TOTAL AMERICAN HONDA FINAN 0.875% 7/07/23		139,955.20		141,152.20	1,197.00
	AMERICAN HONDA FINANCE MED TERM NOTE DTD 09/10/20 1.000 09/10/2025 CUSIP 02665WDN8					
130,000.000	ALLISON TRANS-RYAN LABS	99.9950	129,993.50	99.9930	129,990.90	2.60-
130,000.000	TOTAL AMERICAN HONDA FINAN 1.000% 9/10/25		129,993.50		129,990.90	2.60-
	AMERICAN INTL GROUP DTD 05/11/20 3.400 06/30/2030 CUSIP 026874DR5					
315,000.000	ALLISON TRANS-RYAN LABS	103.8005	326,971.60	110.7360	348,818.40	21,846.80
315,000.000	TOTAL AMERICAN INTL GROUP 3.400% 6/30/30		326,971.60		348,818.40	21,846.80
	AMERICAN TOWER CORP DTD 10/03/19 2.750 01/15/2027 CUSIP 03027XAX8					
440,000.000	ALLISON TRANS-RYAN LABS	100.0049	440,021.60	107.8740	474,645.60	34,624.00
440,000.000	TOTAL AMERICAN TOWER CORP 2.750% 1/15/27		440,021.60		474,645.60	34,624.00
	AMERIPRISE FINANCIAL INC DTD 08/11/16 2.875 09/15/2026 CUSIP 03076CAH9					
255,000.000	ALLISON TRANS-RYAN LABS	102.2880	260,834.40	109.8510	280,120.05	19,285.65
255,000.000	TOTAL AMERIPRISE FINANCIAL 2.875% 9/15/26		260,834.40		280,120.05	19,285.65
	ANHEUSER-BUSCH INBEV WOR DTD 01/23/19 4.150 01/23/2025 CUSIP 03523TBX5					
380,000.000	ALLISON TRANS-RYAN LABS	109.2200	415,036.00	113.1530	429,981.40	14,945.40
380,000.000	TOTAL ANHEUSER-BUSCH INBEV 4.150% 1/23/25		415,036.00		429,981.40	14,945.40

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	ANTHEM INC DTD 11/21/17 3.650 12/01/2027 CUSIP 036752AB9					
390,000.000	ALLISON TRANS-RYAN LABS	105.0790	409,808.10	113.9450	444,385.50	34,577.40
390,000.000	TOTAL ANTHEM INC 3.650% 12/01/27		409,808.10		444,385.50	34,577.40
	APPLE INC DTD 09/12/17 3.750 09/12/2047 CUSIP 037833DD9					
470,000.000	ALLISON TRANS-RYAN LABS	111.6260	524,642.20	123.5310	580,595.70	55,953.50
470,000.000	TOTAL APPLE INC 3.750% 9/12/47		524,642.20		580,595.70	55,953.50
	APPLE INC DTD 05/13/15 4.375 05/13/2045 CUSIP 037833BH2					
740,000.000	ALLISON TRANS-RYAN LABS	121.0590	895,836.60	133.9760	991,422.40	95,585.80
740,000.000	TOTAL APPLE INC 4.375% 5/13/45		895,836.60		991,422.40	95,585.80
	APPLIED MATERIALS INC DTD 05/29/20 2.750 06/01/2050 CUSIP 038222AP0					
300,000.000	ALLISON TRANS-RYAN LABS	100.4440	301,332.00	105.0940	315,282.00	13,950.00
300,000.000	TOTAL APPLIED MATERIALS IN 2.750% 6/01/50		301,332.00		315,282.00	13,950.00
	AT&T INC DTD 08/04/20 1.650 02/01/2028 CUSIP 00206RKG6					
300,000.000	ALLISON TRANS-RYAN LABS	101.3240	303,972.15	100.1890	300,567.00	3,405.15-
300,000.000	TOTAL AT&T INC 1.650% 2/01/28		303,972.15		300,567.00	3,405.15-
	AT&T INC DTD 05/28/20 3.650 06/01/2051 CUSIP 00206RKA9					
355,000.000	ALLISON TRANS-RYAN LABS	100.4770	356,693.35	100.8650	358,070.75	1,377.40
355,000.000	TOTAL AT&T INC 3.650% 6/01/51		356,693.35		358,070.75	1,377.40

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	BAKER HUGHES LLC/CO-OBL DTD 12/11/17 4.080 12/15/2047 CUSIP 05723KAF7					
165,000.000	ALLISON TRANS-RYAN LABS	100.6520	166,075.80	99.9860	164,976.90	1,098.90-
165,000.000	TOTAL BAKER HUGHES LLC/CO- 4.080% 12/15/47		166,075.80		164,976.90	1,098.90-
	BANCO SANTANDER SA DTD 04/12/18 3.848 04/12/2023 CUSIP 05964HAG0					
425,000.000	ALLISON TRANS-RYAN LABS	104.3019	443,282.90	106.7610	453,734.25	10,451.35
425,000.000	TOTAL BANCO SANTANDER SA 3.848% 4/12/23		443,282.90		453,734.25	10,451.35
	BANK OF AMERICA CORP DTD 12/20/17 3.004 12/20/2023 CUSIP 06051GHC6					
867,000.000	ALLISON TRANS-RYAN LABS	102.1270	885,441.09	104.9800	910,176.60	24,735.51
867,000.000	TOTAL BANK OF AMERICA CORP 3.004% 12/20/23		885,441.09		910,176.60	24,735.51
	BERKSHIRE HATHAWAY ENERG DTD 12/04/14 3.500 02/01/2025 CUSIP 084659AD3					
485,000.000	ALLISON TRANS-RYAN LABS	106.3450	515,773.25	111.2960	539,785.60	24,012.35
485,000.000	TOTAL BERKSHIRE HATHAWAY 3.500% 2/01/25		515,773.25		539,785.60	24,012.35
	BERKSHIRE HATHAWAY FIN DTD 05/15/13 4.300 05/15/2043 CUSIP 084664BV2					
385,000.000	ALLISON TRANS-RYAN LABS	117.8310	453,649.35	129.9520	500,315.20	46,665.85
385,000.000	TOTAL BERKSHIRE HATHAWAY 4.300% 5/15/43		453,649.35		500,315.20	46,665.85
	BOEING CO DEB DTD 07/07/93 7.2500 06/15/2025 CUSIP 097023AM7					
380,000.000	ALLISON TRANS-RYAN LABS	125.1540	475,585.20	119.4230	453,807.40	21,777.80-
380,000.000	TOTAL BOEING CO DEB DTD 7.250% 6/15/25		475,585.20		453,807.40	21,777.80-

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	BP CAP MARKETS AMERICA DTD 11/04/18 3.119 05/04/2026 CUSIP 10373QAT7					
400,000.000	ALLISON TRANS-RYAN LABS	104.2600	417,040.00	110.4000	441,600.00	24,560.00
400,000.000	TOTAL BP CAP MARKETS AMERI 3.119% 5/04/26		417,040.00		441,600.00	24,560.00
	BP CAP MARKETS AMERICA DTD 10/14/18 3.224 04/14/2024 CUSIP 10373QAY6					
225,000.000	ALLISON TRANS-RYAN LABS	103.9790	233,952.75	107.8070	242,565.75	8,613.00
225,000.000	TOTAL BP CAP MARKETS AMERI 3.224% 4/14/24		233,952.75		242,565.75	8,613.00
	BURLINGTN NORTH SANTA FE DTD 08/22/13 5.150 09/01/2043 CUSIP 12189LAP6					
325,000.000	ALLISON TRANS-RYAN LABS	127.9880	415,961.00	137.2300	445,997.50	30,036.50
325,000.000	TOTAL BURLINGTN NORTH SANT 5.150% 9/01/43		415,961.00		445,997.50	30,036.50
	BURLINGTON RESOUR FINAN DTD 08/24/01 7.200 08/15/2031 CUSIP 12201PAB2					
265,000.000	ALLISON TRANS-RYAN LABS	141.1350	374,007.75	144.7820	383,672.30	9,664.55
265,000.000	TOTAL BURLINGTON RESOUR 7.200% 8/15/31		374,007.75		383,672.30	9,664.55
	CANADIAN NATL RAILWAY DTD 05/01/20 2.450 05/01/2050 CUSIP 136375CZ3					
470,000.000	ALLISON TRANS-RYAN LABS	95.1690	447,294.30	99.4450	467,391.50	20,097.20
470,000.000	TOTAL CANADIAN NATL RAILWA 2.450% 5/01/50		447,294.30		467,391.50	20,097.20
	CAPITAL ONE FINANCIAL CO DTD 01/29/19 3.900 01/29/2024 CUSIP 14040HCA1					
400,000.000	ALLISON TRANS-RYAN LABS	105.6500	422,600.00	108.8480	435,392.00	12,792.00
400,000.000	TOTAL CAPITAL ONE FINANCIA 3.900% 1/29/24		422,600.00		435,392.00	12,792.00

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	CHARLES SCHWAB CORP DTD 05/22/18 3.850 05/21/2025 CUSIP 808513AX3					
395,000.000	ALLISON TRANS-RYAN LABS	107.8180	425,881.10	113.2410	447,301.95	21,420.85
395,000.000	TOTAL CHARLES SCHWAB CORP 3.850% 5/21/25		425,881.10		447,301.95	21,420.85
	CIGNA CORP DTD 03/16/20 2.400 03/15/2030 CUSIP 125523CL2					
285,000.000	ALLISON TRANS-RYAN LABS	106.1570	302,547.45	103.7120	295,579.20	6,968.25-
285,000.000	TOTAL CIGNA CORP 2.400% 3/15/30		302,547.45		295,579.20	6,968.25-
	CNOOC FINANCE 2013 LTD DTD 05/09/13 3.000 05/09/2023 CUSIP 12625GAC8					
650,000.000	ALLISON TRANS-RYAN LABS	101.5550	660,107.50	104.7970	681,180.50	21,073.00
650,000.000	TOTAL CNOOC FINANCE 2013 3.000% 5/09/23		660,107.50		681,180.50	21,073.00
	COMCAST CORP DTD 07/19/16 2.350 01/15/2027 CUSIP 20030NBW0					
355,000.000	ALLISON TRANS-RYAN LABS	99.5760	353,494.80	107.2810	380,847.55	27,352.75
355,000.000	TOTAL COMCAST CORP 2.350% 1/15/27		353,494.80		380,847.55	27,352.75
	COMCAST CORP DTD 01/14/13 4.250 01/15/2033 CUSIP 20030NBH3					
567,000.000	ALLISON TRANS-RYAN LABS	115.0080	652,095.36	124.2510	704,503.17	52,407.81
567,000.000	TOTAL COMCAST CORP 4.250% 1/15/33		652,095.36		704,503.17	52,407.81
	COMCAST CORP DTD 10/05/18 4.600 10/15/2038 CUSIP 20030NCL3					
375,000.000	ALLISON TRANS-RYAN LABS	119.4600	447,975.00	127.8150	479,306.25	31,331.25
375,000.000	TOTAL COMCAST CORP 4.600% 10/15/38		447,975.00		479,306.25	31,331.25

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	COMMONWEALTH EDISON CO DTD 11/12/19 3.200 11/15/2049 CUSIP 202795JQ4					
145,000.000	ALLISON TRANS-RYAN LABS	106.0540	153,778.30	109.4030	158,634.35	4,856.05
145,000.000	TOTAL COMMONWEALTH EDISON 3.200% 11/15/49		153,778.30		158,634.35	4,856.05
	COMMONWEALTH EDISON CO DTD 03/02/15 3.700 03/01/2045 CUSIP 202795JF8					
510,000.000	ALLISON TRANS-RYAN LABS	107.8520	550,045.20	116.0730	591,972.30	41,927.10
510,000.000	TOTAL COMMONWEALTH EDISON 3.700% 3/01/45		550,045.20		591,972.30	41,927.10
	CONOCO INC DTD 04/20/99 6.950 04/15/2029 CUSIP 208251AE8					
330,000.000	ALLISON TRANS-RYAN LABS	134.6060	444,199.80	138.8590	458,234.70	14,034.90
330,000.000	TOTAL CONOCO INC 6.950% 4/15/29		444,199.80		458,234.70	14,034.90
	CONS EDISON CO OF NY DTD 03/06/14 4.450 03/15/2044 CUSIP 209111FD0					
555,000.000	ALLISON TRANS-RYAN LABS	117.4092	651,621.15	124.0260	688,344.30	36,723.15
555,000.000	TOTAL CONS EDISON CO OF NY 4.450% 3/15/44		651,621.15		688,344.30	36,723.15
	CONSUMERS ENERGY CO DTD 09/03/19 3.100 08/15/2050 CUSIP 210518DF0					
200,000.000	ALLISON TRANS-RYAN LABS	100.7100	201,420.00	109.1440	218,288.00	16,868.00
200,000.000	TOTAL CONSUMERS ENERGY CO 3.100% 8/15/50		201,420.00		218,288.00	16,868.00
	CVS HEALTH CORP DTD 08/21/20 1.750 08/21/2030 CUSIP 126650DN7					
235,000.000	ALLISON TRANS-RYAN LABS	99.7630	234,443.05	97.7240	229,651.40	4,791.65-
235,000.000	TOTAL CVS HEALTH CORP 1.750% 8/21/30		234,443.05		229,651.40	4,791.65-

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	CVS HEALTH CORP DTD 08/15/19 3.000 08/15/2026 CUSIP 126650DF4					
445,000.000	ALLISON TRANS-RYAN LABS	100.4960	447,207.20	109.4850	487,208.25	40,001.05
445,000.000	TOTAL CVS HEALTH CORP 3.000% 8/15/26		447,207.20		487,208.25	40,001.05
	DOWDUPONT INC DTD 11/28/18 4.493 11/15/2025 CUSIP 26078JAC4					
395,000.000	ALLISON TRANS-RYAN LABS	110.4728	436,367.45	115.2660	455,300.70	18,933.25
395,000.000	TOTAL DOWDUPONT INC 4.493% 11/15/25		436,367.45		455,300.70	18,933.25
	DTE ELECTRIC CO DTD 02/26/20 2.950 03/01/2050 CUSIP 23338VAL0					
640,000.000	ALLISON TRANS-RYAN LABS	105.8610	677,510.40	105.4950	675,168.00	2,342.40-
640,000.000	TOTAL DTE ELECTRIC CO 2.950% 3/01/50		677,510.40		675,168.00	2,342.40-
	DUKE ENERGY INDIANA LLC DTD 05/12/16 3.750 05/15/2046 CUSIP 26443TAA4					
360,000.000	ALLISON TRANS-RYAN LABS	107.4330	386,758.80	117.5650	423,234.00	36,475.20
360,000.000	TOTAL DUKE ENERGY INDIANA 3.750% 5/15/46		386,758.80		423,234.00	36,475.20
	EL PASO PIPELINE PART OP DTD 09/20/11 5.000 10/01/2021 CUSIP 28370TAE9					
579,000.000	ALLISON TRANS-RYAN LABS	104.5880	605,564.52	103.2360	597,736.44	7,828.08-
579,000.000	TOTAL EL PASO PIPELINE PAR 5.000% 10/01/21		605,564.52		597,736.44	7,828.08-
	ELI LILLY & CO DTD 05/05/20 2.250 05/15/2050 CUSIP 532457BY3					
235,000.000	ALLISON TRANS-RYAN LABS	98.7770	232,125.95	94.2240	221,426.40	10,699.55-
235,000.000	TOTAL ELI LILLY & CO 2.250% 5/15/50		232,125.95		221,426.40	10,699.55-

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	EQUINOR ASA DTD 11/18/19 3.250 11/18/2049 CUSIP 29446MAC6					
300,000.000	ALLISON TRANS-RYAN LABS	98.4150	295,245.00	106.0410	318,123.00	22,878.00
300,000.000	TOTAL EQUINOR ASA 3.250% 11/18/49		295,245.00		318,123.00	22,878.00
	EXXON MOBIL CORPORATION DTD 08/16/19 2.440 08/16/2029 CUSIP 30231GBE1					
365,000.000	ALLISON TRANS-RYAN LABS	100.6400	367,336.00	107.3820	391,944.30	24,608.30
365,000.000	TOTAL EXXON MOBIL CORPORAT 2.440% 8/16/29		367,336.00		391,944.30	24,608.30
	FIFTH THIRD BANCORP DTD 11/20/13 4.300 01/16/2024 CUSIP 316773CP3					
150,000.000	ALLISON TRANS-RYAN LABS	110.5110	165,766.50	110.3230	165,484.50	282.00-
150,000.000	TOTAL FIFTH THIRD BANCORP 4.300% 1/16/24		165,766.50		165,484.50	282.00-
	FLORIDA POWER & LIGHT CO DTD 05/15/14 3.250 06/01/2024 CUSIP 341081FK8					
240,000.000	ALLISON TRANS-RYAN LABS	104.9790	251,949.60	108.4340	260,241.60	8,292.00
240,000.000	TOTAL FLORIDA POWER & LIGH 3.250% 6/01/24		251,949.60		260,241.60	8,292.00
	FLORIDA POWER & LIGHT DTD 12/09/10 5.250 02/01/2041 CUSIP 341081FD4					
365,000.000	ALLISON TRANS-RYAN LABS	131.0170	478,212.05	139.4690	509,061.85	30,849.80
365,000.000	TOTAL FLORIDA POWER & LIGH 5.250% 2/01/41		478,212.05		509,061.85	30,849.80
	FRANKLIN RESOURCES INC DTD 09/24/12 2.800 09/15/2022 CUSIP 354613AJ0					
220,000.000	ALLISON TRANS-RYAN LABS	102.0900	224,598.00	104.4220	229,728.40	5,130.40
220,000.000	TOTAL FRANKLIN RESOURCES 2.800% 9/15/22		224,598.00		229,728.40	5,130.40

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	GENERAL DYNAMICS CORP DTD 03/25/20 4.250 04/01/2040 CUSIP 369550BH0					
180,000.000	ALLISON TRANS-RYAN LABS	124.4820	224,067.60	125.8120	226,461.60	2,394.00
180,000.000	TOTAL GENERAL DYNAMICS COR 4.250% 4/01/40		224,067.60		226,461.60	2,394.00
	GEORGIA POWER COMPANY DTD 03/06/12 4.300 03/15/2042 CUSIP 373334JW2					
445,000.000	ALLISON TRANS-RYAN LABS	109.9330	489,201.85	119.6920	532,629.40	43,427.55
445,000.000	TOTAL GEORGIA POWER COMPAN 4.300% 3/15/42		489,201.85		532,629.40	43,427.55
	GILEAD SCIENCES INC DTD 09/20/16 4.000 09/01/2036 CUSIP 375558BJ1					
335,000.000	ALLISON TRANS-RYAN LABS	111.8490	374,694.15	121.1300	405,785.50	31,091.35
335,000.000	TOTAL GILEAD SCIENCES INC 4.000% 9/01/36		374,694.15		405,785.50	31,091.35
	HOME DEPOT INC DTD 12/06/18 4.500 12/06/2048 CUSIP 437076BX9					
370,000.000	ALLISON TRANS-RYAN LABS	124.8980	462,122.60	133.6690	494,575.30	32,452.70
370,000.000	TOTAL HOME DEPOT INC 4.500% 12/06/48		462,122.60		494,575.30	32,452.70
	INTEL CORP DTD 07/29/15 3.700 07/29/2025 CUSIP 458140AS9					
145,000.000	ALLISON TRANS-RYAN LABS	108.3590	157,120.55	113.6080	164,731.60	7,611.05
145,000.000	TOTAL INTEL CORP 3.700% 7/29/25		157,120.55		164,731.60	7,611.05
	INTEL CORP DTD 06/08/18 3.734 12/08/2047 CUSIP 458140BG4					
815,000.000	ALLISON TRANS-RYAN LABS	111.5190	908,879.85	119.4230	973,297.45	64,417.60
815,000.000	TOTAL INTEL CORP 3.734% 12/08/47		908,879.85		973,297.45	64,417.60

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	INTERCONTINENTALEXCHANGE DTD 08/20/20 2.650 09/15/2040 CUSIP 45866FAP9					
285,000.000	ALLISON TRANS-RYAN LABS	100.2110	285,601.35	100.0180	285,051.30	550.05-
285,000.000	TOTAL INTERCONTINENTALEXCH 2.650% 9/15/40		285,601.35		285,051.30	550.05-
	JOHN DEERE CAPITAL CORP DTD 07/18/19 2.800 07/18/2029 CUSIP 24422EUY3					
360,000.000	ALLISON TRANS-RYAN LABS	102.6770	369,637.20	111.6390	401,900.40	32,263.20
360,000.000	TOTAL JOHN DEERE CAPITAL 2.800% 7/18/29		369,637.20		401,900.40	32,263.20
	JOHNSON & JOHNSON DTD 08/25/20 2.100 09/01/2040 CUSIP 478160CR3					
220,000.000	ALLISON TRANS-RYAN LABS	100.1590	220,349.80	99.8400	219,648.00	701.80-
220,000.000	TOTAL JOHNSON & JOHNSON 2.100% 9/01/40		220,349.80		219,648.00	701.80-
	JOHNSON & JOHNSON DTD 11/10/17 3.500 01/15/2048 CUSIP 478160CM4					
415,000.000	ALLISON TRANS-RYAN LABS	109.9820	456,425.30	123.8430	513,948.45	57,523.15
415,000.000	TOTAL JOHNSON & JOHNSON 3.500% 1/15/48		456,425.30		513,948.45	57,523.15
	JOHNSON & JOHNSON DTD 12/05/13 4.375 12/05/2033 CUSIP 478160BJ2					
225,000.000	ALLISON TRANS-RYAN LABS	118.8500	267,412.50	130.7240	294,129.00	26,716.50
225,000.000	TOTAL JOHNSON & JOHNSON 4.375% 12/05/33		267,412.50		294,129.00	26,716.50
	JPMORGAN CHASE & CO DTD 07/21/15 3.900 07/15/2025 CUSIP 46625HMN7					
700,000.000	ALLISON TRANS-RYAN LABS	107.8170	754,719.00	113.1130	791,791.00	37,072.00
700,000.000	TOTAL JPMORGAN CHASE & CO 3.900% 7/15/25		754,719.00		791,791.00	37,072.00

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	KIMBERLY-CLARK CORP DTD 05/04/17 3.900 05/04/2047 CUSIP 494368BW2					
245,000.000	ALLISON TRANS-RYAN LABS	114.9670	281,669.15	128.4160	314,619.20	32,950.05
245,000.000	TOTAL KIMBERLY-CLARK CORP 3.900% 5/04/47		281,669.15		314,619.20	32,950.05
	KIMCO REALTY CORP DTD 08/18/16 2.800 10/01/2026 CUSIP 49446RAP4					
355,000.000	ALLISON TRANS-RYAN LABS	100.5540	356,966.70	106.8280	379,239.40	22,272.70
355,000.000	TOTAL KIMCO REALTY CORP 2.800% 10/01/26		356,966.70		379,239.40	22,272.70
	KINDER MORGAN ENER PART DTD 08/05/13 4.150 02/01/2024 CUSIP 494550BS4					
425,000.000	ALLISON TRANS-RYAN LABS	102.0840	433,857.00	109.4250	465,056.25	31,199.25
425,000.000	TOTAL KINDER MORGAN ENER 4.150% 2/01/24		433,857.00		465,056.25	31,199.25
	LLOYDS BANKING GROUP PLC DTD 08/16/18 4.050 08/16/2023 CUSIP 539439AS8					
335,000.000	ALLISON TRANS-RYAN LABS	108.5580	363,669.30	108.2180	362,530.30	1,139.00-
335,000.000	TOTAL LLOYDS BANKING GROUP 4.050% 8/16/23		363,669.30		362,530.30	1,139.00-
	LOEWS CORP DTD 03/22/16 3.750 04/01/2026 CUSIP 540424AS7					
480,000.000	ALLISON TRANS-RYAN LABS	107.0550	513,864.00	114.0240	547,315.20	33,451.20
480,000.000	TOTAL LOEWS CORP 3.750% 4/01/26		513,864.00		547,315.20	33,451.20
	LOWE'S COS INC DTD 03/26/20 4.500 04/15/2030 CUSIP 548661DU8					
375,000.000	ALLISON TRANS-RYAN LABS	125.5010	470,628.75	124.0560	465,210.00	5,418.75-
375,000.000	TOTAL LOWE'S COS INC 4.500% 4/15/30		470,628.75		465,210.00	5,418.75-

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	MANUF & TRADERS TRUST CO DTD 08/17/17 3.400 08/17/2027 CUSIP 55279HAQ3					
345,000.000	ALLISON TRANS-RYAN LABS	107.2670	370,071.15	111.8930	386,030.85	15,959.70
345,000.000	TOTAL MANUF & TRADERS TRUS 3.400% 8/17/27		370,071.15		386,030.85	15,959.70
	MARATHON PETROLEUM CORP DTD 10/02/18 4.750 12/15/2023 CUSIP 56585ABA9					
500,000.000	ALLISON TRANS-RYAN LABS	109.7971	548,985.50	109.6010	548,005.00	980.50-
500,000.000	TOTAL MARATHON PETROLEUM 4.750% 12/15/23		548,985.50		548,005.00	980.50-
	MASTERCARD INC DTD 05/31/19 3.650 06/01/2049 CUSIP 57636QAL8					
575,000.000	ALLISON TRANS-RYAN LABS	113.2730	651,319.75	122.2920	703,179.00	51,859.25
575,000.000	TOTAL MASTERCARD INC 3.650% 6/01/49		651,319.75		703,179.00	51,859.25
	MEDTRONIC INC DTD 03/15/15 4.375 03/15/2035 CUSIP 585055BT2					
301,000.000	ALLISON TRANS-RYAN LABS	120.3440	362,235.44	133.5710	402,048.71	39,813.27
301,000.000	TOTAL MEDTRONIC INC 4.375% 3/15/35		362,235.44		402,048.71	39,813.27
	MERCK & CO INC DTD 06/24/20 2.450 06/24/2050 CUSIP 58933YBB0					
225,000.000	ALLISON TRANS-RYAN LABS	99.2210	223,247.25	100.3800	225,855.00	2,607.75
225,000.000	TOTAL MERCK & CO INC 2.450% 6/24/50		223,247.25		225,855.00	2,607.75
	MICROSOFT CORP DTD 02/06/17 4.250 02/06/2047 CUSIP 594918CA0					
435,000.000	ALLISON TRANS-RYAN LABS	124.0620	539,669.70	137.9210	599,956.35	60,286.65
435,000.000	TOTAL MICROSOFT CORP 4.250% 2/06/47		539,669.70		599,956.35	60,286.65

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	MIDAMERICAN ENERGY CO DTD 09/19/13 4.800 09/15/2043 CUSIP 595620AL9					
355,000.000	ALLISON TRANS-RYAN LABS	125.2940	444,793.70	134.0270	475,795.85	31,002.15
355,000.000	TOTAL MIDAMERICAN ENERGY 4.800% 9/15/43		444,793.70		475,795.85	31,002.15
	MITSUBISHI UFJ FIN GRP DTD 02/25/20 2.193 02/25/2025 CUSIP 606822BN3					
455,000.000	ALLISON TRANS-RYAN LABS	100.0710	455,323.05	104.7360	476,548.80	21,225.75
455,000.000	TOTAL MITSUBISHI UFJ FIN 2.193% 2/25/25		455,323.05		476,548.80	21,225.75
	MORGAN STANLEY DTD 05/19/17 2.750 05/19/2022 CUSIP 61744YAH1					
85,000.000	ALLISON TRANS-RYAN LABS	101.4520	86,234.20	103.6050	88,064.25	1,830.05
85,000.000	TOTAL MORGAN STANLEY 2.750% 5/19/22		86,234.20		88,064.25	1,830.05
	NATIONAL RURAL UTIL COOP DTD 04/25/17 3.050 04/25/2027 CUSIP 637432NN1					
665,000.000	ALLISON TRANS-RYAN LABS	104.4970	694,905.05	111.5470	741,787.55	46,882.50
665,000.000	TOTAL NATIONAL RURAL UTIL 3.050% 4/25/27		694,905.05		741,787.55	46,882.50
	OMNICOM GROUP INC DTD 04/23/12 3.625 05/01/2022 CUSIP 681919AZ9					
580,000.000	ALLISON TRANS-RYAN LABS	103.6070	600,920.60	104.7320	607,445.60	6,525.00
580,000.000	TOTAL OMNICOM GROUP INC 3.625% 5/01/22		600,920.60		607,445.60	6,525.00
	ONCOR ELECTRIC DELIVERY DTD 05/23/19 3.800 06/01/2049 CUSIP 68233JBP8					
415,000.000	ALLISON TRANS-RYAN LABS	113.1564	469,599.06	121.6860	504,996.90	35,397.84
415,000.000	TOTAL ONCOR ELECTRIC DELIV 3.800% 6/01/49		469,599.06		504,996.90	35,397.84

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	ORACLE CORP DTD 11/09/17 3.800 11/15/2037 CUSIP 68389XBP9					
695,000.000	ALLISON TRANS-RYAN LABS	119.2600	828,857.00	117.3210	815,380.95	13,476.05-
695,000.000	TOTAL ORACLE CORP 3.800% 11/15/37		828,857.00		815,380.95	13,476.05-
	ORACLE CORP DTD 04/09/08 6.500 04/15/2038 CUSIP 68389XAE5					
180,000.000	ALLISON TRANS-RYAN LABS	143.1520	257,673.60	156.0850	280,953.00	23,279.40
180,000.000	TOTAL ORACLE CORP 6.500% 4/15/38		257,673.60		280,953.00	23,279.40
	PACIFICORP DTD 10/03/07 6.250 10/15/2037 CUSIP 695114CG1					
305,000.000	ALLISON TRANS-RYAN LABS	140.6790	429,070.95	145.0050	442,265.25	13,194.30
305,000.000	TOTAL PACIFICORP 6.250% 10/15/37		429,070.95		442,265.25	13,194.30
	PEPSICO INC DTD 10/14/15 4.450 04/14/2046 CUSIP 713448DD7					
400,000.000	ALLISON TRANS-RYAN LABS	124.5780	498,312.00	133.1050	532,420.00	34,108.00
400,000.000	TOTAL PEPSICO INC 4.450% 4/14/46		498,312.00		532,420.00	34,108.00
	PFIZER INC DTD 03/11/19 4.000 03/15/2049 CUSIP 717081EV1					
555,000.000	ALLISON TRANS-RYAN LABS	115.7513	642,419.70	127.1820	705,860.10	63,440.40
555,000.000	TOTAL PFIZER INC 4.000% 3/15/49		642,419.70		705,860.10	63,440.40
	PNC BANK NA DTD 07/26/18 4.050 07/26/2028 CUSIP 69349LAR9					
435,000.000	ALLISON TRANS-RYAN LABS	111.1060	483,311.15	116.9340	508,662.90	25,351.75
435,000.000	TOTAL PNC BANK NA 4.050% 7/26/28		483,311.15		508,662.90	25,351.75

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	PPL ELECTRIC UTILITIES DTD 07/11/13 4.750 07/15/2043 CUSIP 69351UAR4					
355,000.000	ALLISON TRANS-RYAN LABS	123.8390	439,628.45	133.5650	474,155.75	34,527.30
355,000.000	TOTAL PPL ELECTRIC UTILITI 4.750% 7/15/43		439,628.45		474,155.75	34,527.30
	PROLOGIS LP DTD 02/18/20 2.250 04/15/2030 CUSIP 74340XBM2					
405,000.000	ALLISON TRANS-RYAN LABS	99.3270	402,274.35	106.2880	430,466.40	28,192.05
405,000.000	TOTAL PROLOGIS LP 2.250% 4/15/30		402,274.35		430,466.40	28,192.05
	PRUDENTIAL FINANCIAL INC DTD 03/10/20 3.000 03/10/2040 CUSIP 74432QCJ2					
275,000.000	ALLISON TRANS-RYAN LABS	106.0490	291,634.75	107.2580	294,959.50	3,324.75
275,000.000	TOTAL PRUDENTIAL FINANCIAL 3.000% 3/10/40		291,634.75		294,959.50	3,324.75
	PUBLIC SERVICE ELECTRIC MED TERM NOTE DTD 05/04/18 3.700 05/01/2028 CUSIP 744560BU9					
775,000.000	ALLISON TRANS-RYAN LABS	109.4190	847,997.25	117.0890	907,439.75	59,442.50
775,000.000	TOTAL PUBLIC SERVICE ELECT 3.700% 5/01/28		847,997.25		907,439.75	59,442.50
	REGENCY ENERGY PARTNERS DTD 11/01/13 4.500 11/01/2023 CUSIP 75886AAJ7					
655,000.000	ALLISON TRANS-RYAN LABS	106.1621	695,361.75	106.3970	696,900.35	1,538.60
655,000.000	TOTAL REGENCY ENERGY PARTN 4.500% 11/01/23		695,361.75		696,900.35	1,538.60
	SHELL INTERNATIONAL FIN DTD 09/12/16 2.500 09/12/2026 CUSIP 822582BX9					
260,000.000	ALLISON TRANS-RYAN LABS	101.6240	264,222.40	108.9790	283,345.40	19,123.00
260,000.000	TOTAL SHELL INTERNATIONAL 2.500% 9/12/26		264,222.40		283,345.40	19,123.00

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	SHIRE ACQ INV IRELAND DA DTD 09/23/16 2.400 09/23/2021 CUSIP 82481LAB5					
122,000.000	ALLISON TRANS-RYAN LABS	100.4630	122,564.86	101.8070	124,204.54	1,639.68
122,000.000	TOTAL SHIRE ACQ INV IRELAN 2.400% 9/23/21		122,564.86		124,204.54	1,639.68
	SIMON PROPERTY GROUP LP DTD 06/01/17 3.375 06/15/2027 CUSIP 828807DC8					
365,000.000	ALLISON TRANS-RYAN LABS	105.5560	385,279.40	107.2160	391,338.40	6,059.00
365,000.000	TOTAL SIMON PROPERTY GROUP 3.375% 6/15/27		385,279.40		391,338.40	6,059.00
	SOUTHERN CAL EDISON DTD 03/24/17 4.000 04/01/2047 CUSIP 842400GG2					
95,000.000	ALLISON TRANS-RYAN LABS	107.2420	101,879.90	107.3020	101,936.90	57.00
95,000.000	TOTAL SOUTHERN CAL EDISON 4.000% 4/01/47		101,879.90		101,936.90	57.00
	SOUTHERN CAL EDISON DTD 10/02/13 4.650 10/01/2043 CUSIP 842400FZ1					
190,000.000	ALLISON TRANS-RYAN LABS	115.2380	218,952.20	115.4330	219,322.70	370.50
190,000.000	TOTAL SOUTHERN CAL EDISON 4.650% 10/01/43		218,952.20		219,322.70	370.50
	SOUTHWESTERN PUBLIC SERV DTD 11/05/18 4.400 11/15/2048 CUSIP 845743BS1					
335,000.000	ALLISON TRANS-RYAN LABS	119.5570	400,515.95	128.1080	429,161.80	28,645.85
335,000.000	TOTAL SOUTHWESTERN PUBLIC 4.400% 11/15/48		400,515.95		429,161.80	28,645.85
	SOUTHWESTERN PUBLIC SERV DTD 08/10/11 4.500 08/15/2041 CUSIP 845743BN2					
440,000.000	ALLISON TRANS-RYAN LABS	117.6830	517,805.20	125.8420	553,704.80	35,899.60
440,000.000	TOTAL SOUTHWESTERN PUBLIC 4.500% 8/15/41		517,805.20		553,704.80	35,899.60

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	SPECTRA ENERGY PARTNERS DTD 09/25/13 4.750 03/15/2024 CUSIP 84756NAD1					
385,000.000	ALLISON TRANS-RYAN LABS	108.9370	419,407.45	111.3640	428,751.40	9,343.95
385,000.000	TOTAL SPECTRA ENERGY PARTN 4.750% 3/15/24		419,407.45		428,751.40	9,343.95
	STATE STREET CORP DTD 01/24/20 2.400 01/24/2030 CUSIP 857477BG7					
435,000.000	ALLISON TRANS-RYAN LABS	99.7644	433,975.20	109.5210	476,416.35	42,441.15
435,000.000	TOTAL STATE STREET CORP 2.400% 1/24/30		433,975.20		476,416.35	42,441.15
	STATOIL ASA DTD 05/15/13 3.950 05/15/2043 CUSIP 85771PAL6					
350,000.000	ALLISON TRANS-RYAN LABS	114.1420	399,497.00	116.3560	407,246.00	7,749.00
350,000.000	TOTAL STATOIL ASA 3.950% 5/15/43		399,497.00		407,246.00	7,749.00
	TORONTO-DOMINION BANK DTD 03/11/19 3.250 03/11/2024 CUSIP 89114QCB2					
200,000.000	ALLISON TRANS-RYAN LABS	104.5080	209,016.00	108.4070	216,814.00	7,798.00
200,000.000	TOTAL TORONTO-DOMINION BAN 3.250% 3/11/24		209,016.00		216,814.00	7,798.00
	TOTAL CAPITAL INTL SA DTD 07/10/19 2.829 01/10/2030 CUSIP 89153VAT6					
280,000.000	ALLISON TRANS-RYAN LABS	110.8860	310,480.80	110.7150	310,002.00	478.80-
280,000.000	TOTAL TOTAL CAPITAL INTL 2.829% 1/10/30		310,480.80		310,002.00	478.80-
	UNION ELECTRIC CO DTD 06/15/17 2.950 06/15/2027 CUSIP 906548CM2					
200,000.000	ALLISON TRANS-RYAN LABS	103.7120	207,424.00	110.2740	220,548.00	13,124.00
200,000.000	TOTAL UNION ELECTRIC CO 2.950% 6/15/27		207,424.00		220,548.00	13,124.00

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	UNITED PARCEL SERVICE DTD 11/14/17 3.750 11/15/2047 CUSIP 911312BN5					
440,000.000	ALLISON TRANS-RYAN LABS	106.6450	469,238.00	120.8400	531,696.00	62,458.00
440,000.000	TOTAL UNITED PARCEL SERVIC 3.750% 11/15/47		469,238.00		531,696.00	62,458.00
	UNITEDHEALTH GROUP INC DTD 03/08/12 4.375 03/15/2042 CUSIP 91324PBW1					
310,000.000	ALLISON TRANS-RYAN LABS	134.7513	417,729.00	127.2540	394,487.40	23,241.60-
310,000.000	TOTAL UNITEDHEALTH GROUP 4.375% 3/15/42		417,729.00		394,487.40	23,241.60-
	UNITEDHEALTH GROUP INC DTD 07/23/15 4.625 07/15/2035 CUSIP 91324PCQ3					
185,000.000	ALLISON TRANS-RYAN LABS	120.8490	223,570.65	131.6990	243,643.15	20,072.50
185,000.000	TOTAL UNITEDHEALTH GROUP 4.625% 7/15/35		223,570.65		243,643.15	20,072.50
	VENTAS REALTY LP DTD 03/29/17 3.100 01/15/2023 CUSIP 92277GAK3					
100,000.000	ALLISON TRANS-RYAN LABS	102.5420	102,542.00	103.9780	103,978.00	1,436.00
100,000.000	TOTAL VENTAS REALTY LP 3.100% 1/15/23		102,542.00		103,978.00	1,436.00
	VENTAS REALTY LP DTD 02/26/19 3.500 04/15/2024 CUSIP 92277GAP2					
705,000.000	ALLISON TRANS-RYAN LABS	104.8160	738,952.80	106.8870	753,553.35	14,600.55
705,000.000	TOTAL VENTAS REALTY LP 3.500% 4/15/24		738,952.80		753,553.35	14,600.55
	VERIZON COMMUNICATIONS DTD 06/03/19 4.016 12/03/2029 CUSIP 92343VEU4					
499,000.000	ALLISON TRANS-RYAN LABS	111.1330	554,553.67	119.7460	597,532.54	42,978.87
499,000.000	TOTAL VERIZON COMMUNICATIO 4.016% 12/03/29		554,553.67		597,532.54	42,978.87



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
Attachments to Schedule H (2019 Form 5500)
Schedule H, Line 4i - Schedule of Assets (Held At End of Year)

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	VERIZON COMMUNICATIONS DTD 10/29/14 4.400 11/01/2034 CUSIP 92343VCQ5					
350,000.000	ALLISON TRANS-RYAN LABS	100.8660	353,031.00	124.6680	436,338.00	83,307.00
350,000.000	TOTAL VERIZON COMMUNICATIO 4.400% 11/01/34		353,031.00		436,338.00	83,307.00
	VISA INC DTD 12/14/15 3.150 12/14/2025 CUSIP 92826CAD4					
230,000.000	ALLISON TRANS-RYAN LABS	106.5870	245,150.10	111.8850	257,335.50	12,185.40
230,000.000	TOTAL VISA INC 3.150% 12/14/25		245,150.10		257,335.50	12,185.40
	BANK OF AMERICA CORP DTD 01/23/18 01/23/2026 CUSIP 06051GGZ6					
435,000.000	ALLISON TRANS-RYAN LABS	106.2651	462,253.20	109.1470	474,789.45	12,536.25
435,000.000	TOTAL VR BANK OF AMERICA 3.366% 1/23/26		462,253.20		474,789.45	12,536.25
	BRANCH BANKING & TRUST DTD 09/16/19 09/17/2029 CUSIP 07330MAC1					
450,000.000	ALLISON TRANS-RYAN LABS	99.8120	449,154.00	103.7430	466,843.50	17,689.50
450,000.000	TOTAL VR BRANCH BANKING 2.636% 9/17/29		449,154.00		466,843.50	17,689.50
	CITIGROUP INC DTD 01/24/18 01/24/2023 CUSIP 172967LV1					
800,000.000	ALLISON TRANS-RYAN LABS	101.8220	814,576.00	103.1840	825,472.00	10,896.00
800,000.000	TOTAL VR CITIGROUP INC 3.142% 1/24/23		814,576.00		825,472.00	10,896.00
	JPMORGAN CHASE & CO DTD 07/24/17 07/24/2038 CUSIP 46647PAJ5					
630,000.000	ALLISON TRANS-RYAN LABS	110.4850	696,055.50	117.9100	742,833.00	46,777.50
630,000.000	TOTAL VR JPMORGAN CHASE & 3.882% 7/24/38		696,055.50		742,833.00	46,777.50

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	MIZUHO FINANCIAL GROUP DTD 07/16/19 07/16/2023 CUSIP 60687YAV1					
270,000.000	ALLISON TRANS-RYAN LABS	100.8330	272,249.10	103.5220	279,509.40	7,260.30
270,000.000	TOTAL VR MIZUHO FINANCIAL 2.721% 7/16/23		272,249.10		279,509.40	7,260.30
	WAL-MART STORES INC DTD 10/20/17 3.625 12/15/2047 CUSIP 931142DW0					
335,000.000	ALLISON TRANS-RYAN LABS	112.3320	376,312.20	123.1370	412,508.95	36,196.75
335,000.000	TOTAL WAL-MART STORES INC 3.625% 12/15/47		376,312.20		412,508.95	36,196.75
	WALMART INC DTD 06/27/18 4.050 06/29/2048 CUSIP 931142EC3					
65,000.000	ALLISON TRANS-RYAN LABS	127.5640	82,916.60	130.5090	84,830.85	1,914.25
65,000.000	TOTAL WALMART INC 4.050% 6/29/48		82,916.60		84,830.85	1,914.25
	WALT DISNEY COMPANY/THE DTD 09/06/19 2.750 09/01/2049 CUSIP 254687FM3					
375,000.000	ALLISON TRANS-RYAN LABS	104.5500	392,062.60	97.5110	365,666.25	26,396.35-
375,000.000	TOTAL WALT DISNEY COMPANY/ 2.750% 9/01/49		392,062.60		365,666.25	26,396.35-
	WELLS FARGO & CO DTD 02/07/05 5.375 02/07/2035 CUSIP 949746JM4					
375,000.000	ALLISON TRANS-RYAN LABS	127.9110	479,666.25	136.8380	513,142.50	33,476.25
375,000.000	TOTAL WELLS FARGO & CO 5.375% 2/07/35		479,666.25		513,142.50	33,476.25
	WELLS FARGO & COMPANY DTD 02/13/13 3.450 02/13/2023 CUSIP 94974BFJ4					
455,000.000	ALLISON TRANS-RYAN LABS	103.2710	469,883.05	105.9810	482,213.55	12,330.50
455,000.000	TOTAL WELLS FARGO & COMPAN 3.450% 2/13/23		469,883.05		482,213.55	12,330.50

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	WELLS FARGO & COMPANY DTD 03/08/12 3.500 03/08/2022 CUSIP 94974BFC9					
845,000.000	ALLISON TRANS-RYAN LABS	103.1870	871,930.15	104.2330	880,768.85	8,838.70
845,000.000	TOTAL WELLS FARGO & COMPAN 3.500% 3/08/22		871,930.15		880,768.85	8,838.70
	WELLS FARGO & COMPANY MED TERM NOTE DTD 07/22/15 4.300 07/22/2027 CUSIP 94974BGL8					
250,000.000	ALLISON TRANS-RYAN LABS	109.5620	273,905.00	114.5770	286,442.50	12,537.50
250,000.000	TOTAL WELLS FARGO & COMPAN 4.300% 7/22/27		273,905.00		286,442.50	12,537.50
	WELLTOWER INC DTD 02/15/19 3.625 03/15/2024 CUSIP 95040QAG9					
590,000.000	ALLISON TRANS-RYAN LABS	105.1598	620,443.05	108.1670	638,185.30	17,742.25
590,000.000	TOTAL WELLTOWER INC 3.625% 3/15/24		620,443.05		638,185.30	17,742.25
	WESTAR ENERGY INC DTD 03/06/17 3.100 04/01/2027 CUSIP 95709TAP5					
330,000.000	ALLISON TRANS-RYAN LABS	104.5490	345,011.70	110.6780	365,237.40	20,225.70
330,000.000	TOTAL WESTAR ENERGY INC 3.100% 4/01/27		345,011.70		365,237.40	20,225.70
	WESTPAC BANKING CORP DTD 01/16/20 2.650 01/16/2030 CUSIP 961214EL3					
265,000.000	ALLISON TRANS-RYAN LABS	100.6310	266,672.15	110.7460	293,476.90	26,804.75
265,000.000	TOTAL WESTPAC BANKING CORP 2.650% 1/16/30		266,672.15		293,476.90	26,804.75
	WESTPAC BANKING CORP DTD 05/13/16 2.850 05/13/2026 CUSIP 961214CX9					
450,000.000	ALLISON TRANS-RYAN LABS	104.3600	469,620.00	111.0550	499,747.50	30,127.50
450,000.000	TOTAL WESTPAC BANKING CORP 2.850% 5/13/26		469,620.00		499,747.50	30,127.50

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	3M COMPANY MED TERM NOTE DTD 02/22/19 3.375 03/01/2029 CUSIP 88579YBG5					
400,000.000	ALLISON TRANS-RYAN LABS	106.9053	427,621.40	115.0000	460,000.00	32,378.60
400,000.000	TOTAL 3M COMPANY 3.375% 3/01/29		427,621.40		460,000.00	32,378.60
	TOTAL CORPORATE BONDS		56,969,458.60		59,760,918.80	2,791,460.20
	CORPORATE BACKED OBLIGATION					
	SIERRA RECEIVABLES FUNDING CO SER 2016-3A CL B *0 DAY DELAY* 144A PRIV PLCMT 2.630 10/20/2033 CUSIP 82652YAB0					
64,791.490	ALLISON TRANS-RYAN LABS	99.6680	64,576.37	100.2560	64,957.36	380.99
64,791.490	TOTAL SIERRA RECEIVABLES 2.630% 10/20/33		64,576.37		64,957.36	380.99
	FINANCE AMER STRUCTURED SECS TR JR2 SER 2019-JR3 SER 2019-JR3 CL A *0 DAY DELAY* 144A PRIV PLCMT 09/25/2069 CUSIP 31739LAA4					
380,004.650	ALLISON TRANS-RYAN LABS	100.9426	383,586.44	104.6530	397,686.27	14,099.83
380,004.650	TOTAL VR FINANCE AMER STRU 1.000% 9/25/69		383,586.44		397,686.27	14,099.83
	TOTAL CORPORATE BACKED OBLIGATION		448,162.81		462,643.63	14,480.82
	MORTGAGE BACKED OBLIGATION					
	CREDIT SUISSE MORTGAGE TRUST SER 2014-USA CL D *14 DAY DELAY* 144A PRIV PLCMT 4.373 09/15/2037 CUSIP 12649AAN9					
230,000.000	ALLISON TRANS-RYAN LABS	99.6090	229,100.70	76.0360	174,882.80	54,217.90-
230,000.000	TOTAL CREDIT SUISSE MORTG 4.3733% 9/15/37		229,100.70		174,882.80	54,217.90-

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
240,000.000	JP MORGAN CHASE COMMERCIAL MOR SER 2017-JP7 CL C *14 DAY DELAY* DTD 07/01/17 3.807 09/15/2050 CUSIP 465968AL9	103.4270	248,224.80	100.2530	240,607.20	7,617.60-
240,000.000	ALLISON TRANS-RYAN LABS TOTAL JP MORGAN CHASE CO 3.80685% 9/15/50		248,224.80		240,607.20	7,617.60-
400,000.000	CSAIL COMMERCIAL MORTGAGE TRUS SER 2015-C3 CL B *14 DAY DELAY* DTD 08/01/15 08/15/2048 CUSIP 12635FAY0	105.3780	421,512.00	90.1870	360,748.00	60,764.00-
400,000.000	ALLISON TRANS-RYAN LABS TOTAL VR CSAIL COMMERCIA 4.24351% 8/15/48		421,512.00		360,748.00	60,764.00-
250,000.000	FED HOME LN MTG CORP SER 2016-K53 CL C *24 DAY DELAY* 144A PRIV PLCMT 03/25/2049 CUSIP 30288LAQ6	103.3580	258,395.00	106.5650	266,412.50	8,017.50
250,000.000	ALLISON TRANS-RYAN LABS TOTAL VR FED HOME LN MTG 4.15793% 3/25/49		258,395.00		266,412.50	8,017.50
475,000.000	FREMF MORTGAGE TRUST SER 2019-K91 CL C *24 DAY DELAY* 144A PRIV PLCMT 04/25/2051 CUSIP 30309JAG8	103.6758	492,459.96	108.1410	513,669.75	21,209.79
475,000.000	ALLISON TRANS-RYAN LABS TOTAL VR FREMF MORTGAGE 4.2521% 4/25/51		492,459.96		513,669.75	21,209.79
230,000.000	FREMF MORTGAGE TRUST SER 2016-K60 CL C *24 DAY DELAY* 144A PRIV PLCMT 12/25/2049 CUSIP 302947AG1	97.0703	223,261.72	104.1130	239,459.90	16,198.18
230,000.000	ALLISON TRANS-RYAN LABS TOTAL VR FREMF MORTGAGE 3.65718% 12/25/49		223,261.72		239,459.90	16,198.18

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		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	FREMF MORTGAGE TRUST SER 2020-K105 CL B *24 DAY DELAY* 144A PRIV PLCMT 03/25/2053 CUSIP 302975BE6					
220,000.000	ALLISON TRANS-RYAN LABS	105.2860	231,629.20	107.9200	237,424.00	5,794.80
220,000.000	TOTAL VR FREMF MORTGAGE TR 3.530% 3/25/53		231,629.20		237,424.00	5,794.80
	JP MORGAN CHASE COMMERCIAL MOR SER 2016-NINE CL A *5 DAY DELAY* 144A PRIV PLCMT 10/06/2038 CUSIP 46646GAA5					
460,000.000	ALLISON TRANS-RYAN LABS	103.1190	474,347.40	107.5320	494,647.20	20,299.80
460,000.000	TOTAL VR JP MORGAN CHASE 2.8541% 10/06/38		474,347.40		494,647.20	20,299.80
	JP MORGAN CHASE COMMERCIAL MOR SER 2015-FRR2 CL AK39 *26 DAY DELAY* 144A PRIV PLCMT 08/27/2047 CUSIP 46644KAG5					
430,000.000	ALLISON TRANS-RYAN LABS	97.9010	420,974.30	101.3560	435,830.80	14,856.50
430,000.000	TOTAL VR JP MORGAN CHASE 2.94032% 8/27/47		420,974.30		435,830.80	14,856.50
	NEW RESIDENTIAL MORTGAGE LOAN SER 2019-RPL3 CL M1 *24 DAY DELAY* 144A PRIV PLCMT 07/25/2059 CUSIP 64830NAE1					
290,000.000	ALLISON TRANS-RYAN LABS	102.0000	295,800.00	102.3580	296,838.20	1,038.20
290,000.000	TOTAL VR NEW RESIDENTIAL 3.250% 7/25/59		295,800.00		296,838.20	1,038.20
	NEW RESIDENTIAL MORTGAGE LOAN SER 2018-2A CL B3 *24 DAY DELAY* 144A PRIV PLCMT 02/25/2058 CUSIP 64828CCL1					
243,540.050	ALLISON TRANS-RYAN LABS	107.0000	260,587.86	107.8990	262,777.28	2,189.42
243,540.050	TOTAL VR NEW RESIDENTIAL 5.000% 2/25/58		260,587.86		262,777.28	2,189.42

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	SFAVE COMMERCIAL MORTGAGE SECURITIES SER 2015-5AVE CL B *4 DAY DELAY* 144A PRIV PLCMT 01/05/2035 CUSIP 78413MAL2					
410,000.000	ALLISON TRANS-RYAN LABS	105.4570	432,373.70	83.3300	341,653.00	90,720.70-
410,000.000	TOTAL VR SFAVE COMMERCIAL 4.38801% 1/05/35		432,373.70		341,653.00	90,720.70-
	WELLS FARGO COMMERCIAL MORTGAGE SECURITIES SER 2016-LC25 CL B *14 DAY DELAY* DTD 12/01/16 4.437 12/15/2059 CUSIP 95000JBA5					
95,000.000	ALLISON TRANS-RYAN LABS	110.1120	104,606.40	107.0960	101,741.20	2,865.20-
95,000.000	TOTAL WELLS FARGO COMMERCIAL 4.4367% 12/15/59		104,606.40		101,741.20	2,865.20-
	TOTAL MORTGAGE BACKED OBLIGATION		4,093,273.04		3,966,691.83	126,581.21-
	PRIVATE PLACEMENT					
	AVIATION CAPITAL GROUP 144A PRIV PLCMT 3.875 05/01/2023 CUSIP 05369AAC5					
400,000.000	ALLISON TRANS-RYAN LABS	103.4110	413,644.00	98.9630	395,852.00	17,792.00-
400,000.000	TOTAL P/P AVIATION CAPITAL 3.875% 5/01/23		413,644.00		395,852.00	17,792.00-
	BELROSE FUNDING TRUST 144A PRIV PLCMT 2.330 08/15/2030 CUSIP 080807AA8					
225,000.000	ALLISON TRANS-RYAN LABS	100.2180	225,490.50	98.8260	222,358.50	3,132.00-
225,000.000	TOTAL P/P BELROSE FUNDING 2.330% 8/15/30		225,490.50		222,358.50	3,132.00-
	BOSTON GAS COMPANY 144A PRIV PLCMT 3.001 08/01/2029 CUSIP 100743AL7					
430,000.000	ALLISON TRANS-RYAN LABS	103.0010	442,904.30	110.0320	473,137.60	30,233.30
430,000.000	TOTAL P/P BOSTON GAS COMPANY 3.001% 8/01/29		442,904.30		473,137.60	30,233.30

ASSET DETAIL REVALUED COST
AS OF SEPTEMBER 30, 2020ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	CAMERON LNG LLC 144A PRIV PLCMT 2.902 07/15/2031 CUSIP 133434AA8					
215,000.000	ALLISON TRANS-RYAN LABS	100.2300	215,494.50	110.0050	236,510.75	21,016.25
215,000.000	TOTAL P/P CAMERON LNG LLC 2.902% 7/15/31		215,494.50		236,510.75	21,016.25
	ELECTRICITE DE FRANCE SA 144A PRIV PLCMT 4.950 10/13/2045 CUSIP 268317AQ7					
165,000.000	ALLISON TRANS-RYAN LABS	117.9340	194,591.10	122.7070	202,466.55	7,875.45
165,000.000	TOTAL P/P ELECTRICITE DE 4.950% 10/13/45		194,591.10		202,466.55	7,875.45
	ENEL FINANCE INTL NV 144A PRIV PLCMT 3.500 04/06/2028 CUSIP 29278GAF5					
340,000.000	ALLISON TRANS-RYAN LABS	102.3960	348,146.40	111.4320	378,868.80	30,722.40
340,000.000	TOTAL P/P ENEL FINANCE INT 3.500% 4/06/28		348,146.40		378,868.80	30,722.40
	HYUNDAI CAPITAL AMERICA 144A PRIV PLCMT 3.000 10/30/2020 CUSIP 44891AAD9					
410,000.000	ALLISON TRANS-RYAN LABS	100.4750	411,947.50	100.1830	410,750.30	1,197.20-
410,000.000	TOTAL P/P HYUNDAI CAPITAL 3.000% 10/30/20		411,947.50		410,750.30	1,197.20-
	MARS INC 144A PRIV PLCMT 1.625 07/16/2032 CUSIP 571676AL9					
305,000.000	ALLISON TRANS-RYAN LABS	100.2460	305,750.30	99.2100	302,590.50	3,159.80-
305,000.000	TOTAL P/P MARS INC 1.625% 7/16/32		305,750.30		302,590.50	3,159.80-
	MET LIFE GLOB FUNDING I 144A PRIV PLCMT 3.050 06/17/2029 CUSIP 59217GDC0					
410,000.000	ALLISON TRANS-RYAN LABS	104.6770	429,175.70	112.8040	462,496.40	33,320.70
410,000.000	TOTAL P/P MET LIFE GLOB FU 3.050% 6/17/29		429,175.70		462,496.40	33,320.70

ASSET DETAIL REVALUED COST
 AS OF SEPTEMBER 30, 2020

ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	NEW YORK LIFE INSURANCE 144A PRIV PLCMT 3.750 05/15/2050 CUSIP 64952GAT5					
415,000.000	ALLISON TRANS-RYAN LABS	110.4230	458,255.45	112.7420	467,879.30	9,623.85
415,000.000	TOTAL P/P NEW YORK LIFE IN 3.750% 5/15/50		458,255.45		467,879.30	9,623.85
	RAYTHEON TECH CORP 144A PRIV PLCMT 4.875 10/15/2040 CUSIP 75513EAX9					
180,000.000	ALLISON TRANS-RYAN LABS	123.2990	221,938.20	127.9470	230,304.60	8,366.40
180,000.000	TOTAL P/P RAYTHEON TECH CO 4.875% 10/15/40		221,938.20		230,304.60	8,366.40
	SIEMENS FINANCIERINGSMAT 144A PRIV PLCMT 3.400 03/16/2027 CUSIP 82620KAU7					
820,000.000	ALLISON TRANS-RYAN LABS	106.2070	870,897.40	112.2710	920,622.20	49,724.80
820,000.000	TOTAL P/P SIEMENS FINANCIE 3.400% 3/16/27		870,897.40		920,622.20	49,724.80
	SPRINT SPECTRUM / SPEC I 144A PRIV PLCMT 3.360 03/20/2023 CUSIP 85208NAA8					
166,250.000	ALLISON TRANS-RYAN LABS	100.3750	166,873.44	101.1200	168,112.00	1,238.56
166,250.000	TOTAL P/P SPRINT SPECTRUM 3.360% 3/20/23		166,873.44		168,112.00	1,238.56
	BNP PARIBAS 144A PRIV PLCMT 01/13/2031 CUSIP 09659W2K9					
215,000.000	ALLISON TRANS-RYAN LABS	100.2830	215,608.45	107.2460	230,578.90	14,970.45
215,000.000	TOTAL VR P/P BNP PARIBAS 3.052% 1/13/31		215,608.45		230,578.90	14,970.45
	TOTAL PRIVATE PLACEMENT		4,920,717.24		5,102,528.40	181,811.16
	TOTAL BONDS & NOTES		88,092,239.64		93,823,519.36	5,731,279.72
	MUTUAL FUNDS					
	MUTUAL FUNDS- EQUITY					

**ASSET DETAIL REVALUED COST
AS OF SEPTEMBER 30, 2020**
**ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199**

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS I CUSIP 09257V201					
229,365.918	ALLISON HOURLY MUTUAL FUNDS	10.6228	2,436,508.39	10.0300	2,300,540.16	135,968.23-
229,365.918	TOTAL BLACKSTONE ALT MULTI-STRAT-I		2,436,508.39		2,300,540.16	135,968.23-
	DFA EMERGING MARKETS CORE EQUITY FUND CLASS I #5272 CUSIP 233203421					
69,265.010	ALLISON HOURLY MUTUAL FUNDS	18.1428	1,256,664.33	20.0800	1,390,841.40	134,177.07
69,265.010	TOTAL DFA EMERG MKTS CORE EQTY FD I #5272		1,256,664.33		1,390,841.40	134,177.07
	EATON VANCE ATLANTA CAPITAL SMID-CAP FUND CLASS R6 #1016 CUSIP 277902235					
98,792.089	ALLISON HOURLY MUTUAL FUNDS	35.4379	3,500,988.28	34.6900	3,427,097.57	73,890.71-
98,792.089	TOTAL EATON VANCE-ATLANTA SMID-R6 #1016		3,500,988.28		3,427,097.57	73,890.71-
	HARTFORD INTERNATIONAL OPPORTUNITIES FUND CLASS Y CUSIP 416645885					
209,831.171	ALLISON HOURLY MUTUAL FUNDS	15.4918	3,250,657.70	17.7300	3,720,306.66	469,648.96
209,831.171	TOTAL HARTFORD INTL OPPORT-Y		3,250,657.70		3,720,306.66	469,648.96
	PIMCO COMMODITY REAL RETURN STRATEGY FUND-CLASS I #45 CUSIP 722005667					
225,616.505	ALLISON HOURLY MUTUAL FUNDS	5.4159	1,221,919.61	5.2700	1,188,998.98	32,920.63-
225,616.505	TOTAL PIMCO COMMODITY REAL RET STRAT-I#45		1,221,919.61		1,188,998.98	32,920.63-
	PRINCIPAL INVESTORS REAL ESTATE SECURITIES INSTL FUND #4934 CUSIP 742530580					
49,958.254	ALLISON HOURLY MUTUAL FUNDS	26.3645	1,317,125.13	24.2200	1,209,988.91	107,136.22-
49,958.254	TOTAL PRINCIPAL INV R/E SEC-IS FUND 4934		1,317,125.13		1,209,988.91	107,136.22-
	TOTAL MUTUAL FUNDS- EQUITY		12,983,863.44		13,237,773.68	253,910.24



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
Attachments to Schedule H (2019 Form 5500)
Schedule H, Line 4i - Schedule of Assets (Held At End of Year)

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ASSET DETAIL REVALUED COST
AS OF SEPTEMBER 30, 2020

ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE	TOTAL MARKET	
	TOTAL MUTUAL FUNDS		12,983,863.44		13,237,773.68	253,910.24
	TOTAL ASSETS AND LIABILITIES		106,953,372.86		113,650,706.65	6,697,333.79
	PENDING TRADES		639.39-		639.39-	
	ACCRUED INCOME		598,609.65		598,609.65	
	NET ADJUSTED ASSETS		107,551,343.12		114,248,676.91	6,697,333.79

Schedule SB, line 24 — Change in Actuarial Assumptions

- Expenses were updated from \$350,000 to \$380,000.
- Actuarial value basis was updated from 2018 417(e) static mortality and July 2018 segment rates (3.15%/4.20%/4.47%) to 2019 417(e) static mortality and July 2019 segment rates (2.34%/3.38%/4.01%).