

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 <div style="text-align: center; font-size: 1.2em; font-weight: bold;">2020</div> This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>	
A	This return/report is for: <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="margin-top: 5px;"> ☒ a single-employer plan <div style="margin-left: 100px;">☐ 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 ☐ an amended return/report </div> <div> ☐ the final return/report ☐ 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 ☐ special extension (enter description) </div> <div> ☐ automatic extension </div> <div> ☐ the DFVC program </div> </div>

Part II	Basic Plan Information—enter all requested information		
1a	Name of plan <u>DUKE ENERGY RETIREMENT SAVINGS PLAN</u>	1b	Three-digit plan number (PN) ▶ <u>002</u>
		1c	Effective date of plan <u>07/01/1959</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>DUKE ENERGY CORPORATION</u> <u>550 SOUTH TRYON STREET DEC 38A</u> <u>CHARLOTTE, NC 28202</u>	2b	Employer Identification Number (EIN) <u>20-2777218</u>
		2c	Plan Sponsor's telephone number <u>704-382-4703</u>
		2d	Business code (see instructions) <u>221100</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.	<u>10/14/2021</u>	<u>RENEE METZLER</u>
	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.

Form 5500 (2020)
v. 200204

3a Plan administrator's name and address ☐ Same as Plan Sponsor DUKE ENERGY BENEFITS COMMITTEE 550 SOUTH TRYON STREET DEC 38A CHARLOTTE, NC 28202	3b Administrator's EIN 20-2777218 3c Administrator's telephone number 704-382-4703
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 38487
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) 28938 6a(2) 28030 6b 349 6c 7283 6d 35662 6e 165 6f 35827 6g 35545 6h 642
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....	7
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2E 2F 2G 2J 2K 2O 2S 2R 2T b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:	
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)	
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary	b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ <u>0</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2020
		This Form is Open to Public Inspection.

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan DUKE ENERGY RETIREMENT SAVINGS PLAN	B Three-digit plan number (PN) ▶	002
C Plan sponsor's name as shown on line 2a of Form 5500 DUKE ENERGY CORPORATION	D Employer Identification Number (EIN) 20-2777218	

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL
04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
GALLIARD CAPITAL AMANGEMENT INC
41-1813702

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
BLACKROCK INSTITUTIONAL TRUST CO.
94-3112180

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
STATE STREET GLOBAL ADVISORS TR CO
81-4017137

(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)

FINANCIAL ENGINES

77-0473565

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	NONE	5123754	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
64 71 37 65	NONE	2089119	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

RUSSELL INVESTMENT MANAGEMENT LLC

81-1735291

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16	NONE	161308	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)

BNY MELLON

13-5160382

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	NONE	25000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BROKERAGE LINK 04-2647786	SEE ATTACHED DOCUMENT FOR ALL FEES RELATED TO FUND	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	99	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.	
WEALTH MANAGEMENT SYSTEMS INC 22-3734996	50-70% OF GROSS REVENUE FROM IRA PROVIDERS TO WMSI BASED ON VOLUMES	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
WEALTH MANAGEMENT SYSTEMS INC	49	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.	
MILLENNIUM TRUST COMPANY, LLC 36-4400066	ONE TIME REVENUE \$15 PER ACCT; ON-GOING REVENUE PER ACCT 1/12TH OF \$10/YR	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	99	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.	
WEALTH MANAGEMENT SYSTEMS INC 22-3734996	50-70% OF GROSS REVENUE FROM IRA PROVIDERS TO WMSI BASED ON VOLUMES	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BROKERAGE 04-2647786	SEE ATTACHED DOCUMENT FOR ALL FEES RELATED TO FUND	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	49	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.	
MILLENIUM TRUST COMPANY 36-4400066	ONE TIME REVENUE \$15 PER ACCT; ON-GOING REVENUE PER ACCT 1/12TH OF \$10/YR	

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
STATE STREET GLOBAL ADVISORS TRUST	18 19	132448
(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.	
GLOBAL EQ EX USA INDEX NL SF CL A 04-3852757	N/A	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
BLACKROCK INSTITUTIONAL TRUST CO.	21 24 28 50 51	835829
(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.	
EQUITY INDEX FUND F CLASS 94-3112180	N/A	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
BLACKROCK INSTITUTIONAL TRUST CO.	21 24 28 50 51	349906
(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.	
US DEBT INDEX FUND F CLASS 94-3112180	N/A	

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.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection.
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For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A Name of plan <u>DUKE ENERGY RETIREMENT SAVINGS PLAN</u>	B Three-digit plan number (PN) ►	<u>002</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>DUKE ENERGY CORPORATION</u>	D Employer Identification Number (EIN) <u>20-2777218</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: STABLE VALUE FUND

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

c EIN-PN <u>94-1347393-000</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>691711000</u>
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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)
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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)
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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)
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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)
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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)
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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)
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a Name of MTIA, CCT, PSA, or 103-12 IE:

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

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>		
A Name of plan <u>DUKE ENERGY RETIREMENT SAVINGS PLAN</u>	B Three-digit plan number (PN) ►	<u>002</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>DUKE ENERGY CORPORATION</u>	D Employer Identification Number (EIN) <u>20-2777218</u>	

Part I	Asset and Liability Statement		
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.			
Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....		1a	
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions		1b(1)	4941000
(2) Participant contributions.....		1b(2)	
(3) Other		1b(3)	
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)		1c(1)	
(2) U.S. Government securities		1c(2)	
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred		1c(3)(A)	
(B) All other.....		1c(3)(B)	
(4) Corporate stocks (other than employer securities):			
(A) Preferred		1c(4)(A)	
(B) Common		1c(4)(B)	
(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)	145924000
(9) Value of interest in common/collective trusts		1c(9)	
(10) Value of interest in pooled separate accounts		1c(10)	
(11) Value of interest in master trust investment accounts		1c(11)	
(12) Value of interest in 103-12 investment entities		1c(12)	
(13) Value of interest in registered investment companies (e.g., mutual funds)		1c(13)	7032444000
(14) Value of funds held in insurance company general account (unallocated contracts).....		1c(14)	
(15) Other.....		1c(15)	595299000
			691711000

		(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:		
(1)	Employer securities.....	1d(1) 1412099000	1280782000
(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 9190707000	10017399000
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 9190707000	10017399000

Part II Income and Expense Statement

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

		(a) Amount	(b) Total
a	Contributions:		
(1)	Received or receivable in cash from: (A) Employers	2a(1)(A) 224202000	
	(B) Participants	2a(1)(B) 311523000	
	(C) Others (including rollovers).....	2a(1)(C) 21449000	
(2)	Noncash contributions	2a(2)	
(3)	Total contributions. Add lines 2a(1)(A), (B), (C), and line 2a(2)	2a(3)	557174000
b	Earnings on investments:		
(1)	Interest:		
	(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A) 550638	
	(B) U.S. Government securities	2b(1)(B) 1406	
	(C) Corporate debt instruments	2b(1)(C) 93305	
	(D) Loans (other than to participants)	2b(1)(D)	
	(E) Participant loans.....	2b(1)(E) 7538000	
	(F) Other	2b(1)(F) 15031850	
	(G) Total interest. Add lines 2b(1)(A) through (F).....	2b(1)(G)	23215199
(2)	Dividends: (A) Preferred stock.....	2b(2)(A) 62657	
	(B) Common stock	2b(2)(B) 79972887	
	(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C) 75457647	
	(D) Total dividends. Add lines 2b(2)(A), (B), and (C)	2b(2)(D)	155493191
(3)	Rents	2b(3)	
(4)	Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A) 2276377752	
	(B) Aggregate carrying amount (see instructions).....	2b(4)(B) 2284784932	
	(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)	-8407180
(5)	Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	
	(B) Other	2b(5)(B)	
	(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)	0

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		563763041
(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)		141625234
c Other income	2c		218727515
d Total income. Add all income amounts in column (b) and enter total.....	2d		1651591000

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	827532000	
(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)		827532000
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)	2089119	
(3) Investment advisory and management fees	2i(3)	5312297	
(4) Other.....	2i(4)	30584	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		7432000
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		834964000

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		816627000
l Transfers of assets:			
(1) To this plan.....	2l(1)		10065000
(2) From this plan	2l(2)		

Part III Accountant's Opinion

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

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

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

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

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

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

(1) Name: MCCONNELL & JONES LLP

(2) EIN: 76-0488832

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

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

Part IV Compliance Questions

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

During the plan year:

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

	Yes	No	Amount
4a		X	

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		25000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)			
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			
4k		X	
l Has the plan failed to provide any benefit when due under the plan?			
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

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

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

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

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

<div>SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation</div>	<div>Retirement Plan Information</div> <div>This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</div> <div>▶ File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2020</div> <div>This Form is Open to Public Inspection.</div>
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For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

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

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

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

<div>1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....</div>	<div>1</div>	<div>0</div>
<div>2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 04-6568107</div>		
<div>Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.</div>		
<div>3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year</div>	<div>3</div>	

Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)
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<div>4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?</div>	<div>☐ Yes ☐ No ☐ N/A</div>
<div>If the plan is a defined benefit plan, go to line 8.</div>	
<div>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.</div>	
<div>6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)</div>	<div>6a</div>
<div>b Enter the amount contributed by the employer to the plan for this plan year</div>	<div>6b</div>
<div>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).....</div>	<div>6c</div>
<div>If you completed line 6c, skip lines 8 and 9.</div>	
<div>7 Will the minimum funding amount reported on line 6c be met by the funding deadline?</div>	<div>☐ Yes ☐ No ☐ N/A</div>
<div>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?</div>	<div>☐ Yes ☐ No ☐ N/A</div>

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

<div>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.....</div>	<div>☐ Increase ☐ Decrease ☐ Both ☐ No</div>
--	--

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.
---------	--

<div>10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?</div>	<div>☐ Yes ☒ No</div>
<div>11 a Does the ESOP hold any preferred stock?</div>	<div>☐ Yes ☒ No</div>
<div>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.)</div>	<div>☐ Yes ☒ No</div>
<div>12 Does the ESOP hold any stock that is not readily tradable on an established securities market?</div>	<div>☐ Yes ☒ No</div>

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

Schedule R (Form 5500) 2020
v. 200204

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

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

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

14a

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

14b

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

14c

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

a The corresponding number for the plan year immediately preceding the current plan year.....

15a

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

15b

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

a Enter the number of employers who withdrew during the preceding plan year.....

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16b

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

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

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

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

a Enter the percentage of plan assets held as:

Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:

☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?

☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): _____

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

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

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____

**DUKE ENERGY
RETIREMENT SAVINGS PLAN**

**Independent Auditor's Report
and Financial Statements**

December 31, 2020 and 2019

**DUKE ENERGY
RETIREMENT SAVINGS PLAN**

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



McConnell Jones

Independent Auditor's Report

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

Report on the Financial Statements

We have audited the accompanying financial statements of the Duke Energy Retirement Savings Plan (the Plan), which comprise the Statements of Net Assets Available for Benefits as of December 31, 2020 and 2019 and the related Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2020, and the related Notes to Financial Statements.

Plan Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2020 and 2019, and the

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McConnell Jones

changes in net assets available for benefits for the year ended December 31, 2020, in accordance with US GAAP.

Report on Supplementary Information

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

McConnell & Jones LLP

Houston, Texas

June 25, 2021

DUKE ENERGY
RETIREMENT SAVINGS PLAN
Statements of Net Assets Available for Benefits
December 31, 2020 and 2019

(IN THOUSANDS)

	2020	2019
Assets		
Investments		
Investments at fair value	\$ 9,211,012	\$ 8,480,980
Fully benefit-responsive investment contracts at contract value	654,584	558,862
Total investments	9,865,596	9,039,842
Receivables		
Notes receivable from participants	145,707	145,924
Employer's contributions	6,096	4,941
Total receivables	151,803	150,865
Total Assets	10,017,399	9,190,707
Net assets available for benefits	\$ 10,017,399	\$ 9,190,707

DUKE ENERGY
RETIREMENT SAVINGS PLAN
Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2020

(IN THOUSANDS)

Additions to net assets attributed to:	
Investment income	
Net appreciation in fair value of investments	\$ 1,023,328
Interest and dividends	63,551
Total investment income	1,086,879
Interest income on notes receivable from participants	7,538
Contributions	
Participants	311,523
Employer	224,202
Participants' rollover	21,449
Total contributions	557,174
Total additions	1,651,591
Benefits paid to participants	827,532
Administrative Fees	7,432
Total deductions	834,964
Net increase prior to transfers	816,627
Transfer from REC Solar Plans	10,065
Net increase	826,692
Net assets available for benefits, beginning of year	9,190,707
Net assets available for benefits, end of year	\$ 10,017,399

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

1. Description of the Plan

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

Participation and Purpose

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

The purpose of the Plan is to provide an opportunity for eligible employees to enhance their long-range financial security through employee contributions, matching contributions and non-elective employer retirement or transition credit contributions, as applicable, from the Participating Company, and investment among certain investment funds, one of which provides indirect ownership in Duke Energy common stock. The Plan is, in part, an employee stock ownership plan and is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974, as amended (ERISA).

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

Contributions

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

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

Duke Energy generally matches 100% of the first 6% of the employee's eligible compensation that is contributed to the Plan in the form of pretax and/or Roth 401(k) contributions. A different matching contribution formula may apply to certain groups of employees covered by a collective bargaining agreement. Participant after-tax contributions and matching contributions are intended to satisfy the requirements of Section 401(m) of the IRC. The Participating Company also provides a non-elective employer retirement contribution of 4% of eligible compensation for employees who are not eligible to participate in a defined benefit plan. These contributions are invested in the same manner as the employee elected contributions. Beginning on January 1, 2018, the Participating Company also makes non-elective employer transition credit contributions of 3% to 5% (based on service as of December 31, 2017) of eligible compensation for certain legacy Piedmont Natural Gas Company, Inc. employees.

Participants age 50 or older by the end of the year may contribute an additional pretax and/or Roth 401(k) contribution amount over and above the IRC limits each year. For 2020, the IRC allowed participants age 50 or older to contribute up to \$6,500 over and above the \$19,500 pretax and/or Roth 401(k) contribution limit. Participating Company does not provide a base company match on these additional contributions.

Rollover Contributions to the Plan

Rollover contributions represent amounts recorded when participants elect to contribute amounts to their Plan accounts from other eligible, tax-qualified retirement plans or qualified individual retirement accounts. Rollover contributions of approximately \$21.5 million were made to the Plan in 2020. An in-plan Roth rollover feature was added to the Plan, effective November 1, 2019.

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

Investments

Participants may invest their Plan accounts in any or all of the core investment funds offered in the Plan, which include stock, bond, specialty, short-term and target retirement date funds, as well as the Duke Energy Common Stock Fund. The value of an account is updated each business day. As of December 31, 2020, 21 funds were offered for investment.

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

The Plan also offers an investment advisory service (Professional Management) program through the independent investment advice and management services provider, Financial Engines Advisors, LLC. For 2020, participants in the Professional Management program are charged an annual fee of 0.33% on their average account balance. Participants may cancel their participation in the Professional Management program at any time without penalty. Online advice is also available at no additional cost to the participant.

Participant Accounts

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

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

Vesting and Distribution

A participant is 100% vested in their Plan account balance attributable to employee, employer transition credit contributions, and company matching contributions (and earnings on those contributions). Employer retirement contributions and associated investment earnings are subject to a three-year vesting requirement and also vest, if while employed the employee dies, becomes disabled or attains age 65. The Plan provides for several different types of in-service withdrawals for certain contributions, including hardship (in compliance with Section 401 (k) of the IRC) and age 59 1/2 withdrawals, and withdrawals of rollover and after-tax accounts at any time. Special COVID-19 in-service distribution provisions were adopted by the Plan in 2020, as permitted by the Coronavirus Aid, Relief, and Economic Security (CARES) Act.

Forfeitures

Generally, upon distribution of vested balances following termination of employment, participants' nonvested balances are forfeited. Such forfeitures can be applied to reduce employer contributions or Plan administrative expenses. Forfeitures of \$0.1 million and \$0.6 million were included in the Plan assets at December 31, 2020 and 2019, respectively. In 2020, forfeited nonvested participant balances of \$3 million were applied to reduce employer contributions and an insignificant amount was used to reduce Plan administrative expenses.

Payment of Benefits

Upon termination of employment, including retirement, death or disability, a participant or, if the participant is deceased, his or her beneficiary, may request the distribution of all or a portion of the balance of the participant's Plan account. Distributions may be made as soon as practicable after the occasion for the distribution, or generally may be delayed until no later than April 1 of the calendar year following the calendar year in which the participant attains age 70 1/2 (or age 72 for those participants who attain age 70 1/2 after December 31, 2019.) A beneficiary of a deceased participant may elect that a distribution be delayed for up to five years following the date of death. In accordance with the CARES Act, required minimum distributions from the Plan for 2020 were waived.

If the balance of a participant's (or beneficiary's) vested account is at least \$1, but \$5,000 or less (small benefit), it is distributed as soon as practicable. If a distribution election is not made by the participant, the distribution will be made to an individual retirement account (IRA) maintained by Millennium Trust Company for any participant who has not attained age 69 (effective January 25, 2020, age 71 and has not attained age 70 1/2 before January 1, 2021 or any beneficiary).

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

Notes Receivable from Participants

Participants may borrow, with some limitations, from their accounts a minimum of \$1,000 up to a maximum equal to the lesser of (i) \$50,000 minus the highest outstanding loan balance during the 12-month period prior to the new loan, or (ii) 50% of their vested account balances. Loans are to be repaid within 58 months, or up to 15 years for the purchase of a primary residence, through regular payroll deductions (and, following termination of employment, as prescribed by the Benefits Committee). The loan is secured by 50% of the balance in the participant's Plan account at the issuance of the loan and bears interest at a rate of 1% more than the prime interest rate in effect at the issuance of the loan, as determined by the Benefits Committee. Principal and interest are paid ratably through payroll deductions (and, following termination of employment, as prescribed by the Benefits Committee). Loan receipts will be reinvested based on the participant's investment election for employee contributions at the time of repayment. Special COVID-19 in-service loan limits and loan repayment provisions have been adopted by the Plan in 2020, as permitted by the CARES Act.

Plan Merger

Effective at the close of business on December 31, 2020, the REC Solar Commercial Corporation 401(k) Plan and the REC Solar Prevailing Wage Plan (collectively, the REC Solar Plans) were merged into the Plan. As a result, plan assets from the REC Solar Plans totaling approximately \$10.1 million were transferred into the trust maintained to hold Plan assets on or about December 31, 2020. The transfer is reflected in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2020 as a Transfer from REC Solar Plans. In the Statement of Net Assets Available for Benefits as of December 31, 2020, approximately \$9.8 million is included in Investments at fair value, and \$226 thousand is included in Notes receivable from participants.

Plan Termination

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

2. Summary of Significant Accounting Policies

Basis of Accounting

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

Use of Estimates

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

Investment Valuation and Income Recognition

Investments are reported at fair value except for the fully benefit-responsive synthetic guaranteed investment contracts (GICs), which are stated at contract value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 7 for discussion of fair value measurements. Contract value represents contributions and reinvested income, less any withdrawals plus accrued interest, because these investments have fully benefit-responsive features. Contract value is the relevant measurement attribute for that portion of the net assets available for benefits of a defined contribution plan attributable to fully benefit-responsive investment contracts because contract value is the amount participants would receive if they were to initiate permitted transactions under the terms of the Plan. See Note 6 for further discussion of fully benefit-responsive investment contracts.

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

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

Notes Receivable from Participants

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

Payment of Benefits

Benefits paid to participants are recorded when paid.

Administrative Expenses

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

Plan Management's Review of Subsequent Events

In preparing the accompanying financial statements, Plan management has reviewed all known events that have occurred after December 31, 2020, and through June 25, 2021, which is the date the financial statements were available to be issued, for inclusion in the financial statements and footnotes and has determined that, except for the matter noted below, no significant events occurred that would have a material impact on the financial statements and footnotes.

3. Exempt Party-in-Interest Transactions (PII)

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

4. Federal Income Tax Status

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

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

5. Investment Risk

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

The Plan has invested a significant portion of its assets in the Duke Energy Common Stock Fund. This investment in the Duke Energy Common Stock Fund approximated 13% and 15% of the Plan's net assets available for benefits as of December 31, 2020 and 2019, respectively. As a result of this concentration, any significant fluctuation in the market value of the Duke Energy Common Stock Fund could affect individual participant accounts and the net assets of the Plan.

6. Benefit-Responsive Investments

The Plan has an interest in a Stable Value Fund that has investments in fixed income securities and bond funds and may include derivative instruments, such as futures contracts and swap agreements. The Stable Value Fund also enters into a wrapper contract issued by a third-party.

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

As described in Note 2, contract value is the relevant measurement attribute for that portion of the net assets available for benefits attributable to these contracts. For indirect investments in fully benefit-responsive investment contracts within collective investment trusts, net asset value per share should be calculated in a manner consistent with the measurement principles of the Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 946, *Financial Services - Investment Companies* (ASC 946). As required by ASC 946, the net asset value calculated by the fund is based on the net assets, which includes fully benefit-responsive contracts at contract value. This net asset value represents the plan's fair value. As a result, investments are reported on the Statement of Net Assets Available for Benefits at fair value except for the fully benefit-responsive synthetic GICs, which are stated at contract value. Contract value represents contributions made under the contract, plus earnings, less participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investment at contract value. The Stable Value Fund's 2020 contract value of \$391.7 million approximates its fair value of \$719.2 million while the Stable Value Fund's 2019 contract value of \$595.3 million approximates its fair value of \$606.6 million.

Occurrence of certain events may limit the ability of the Plan to transact at contract value with the issuer. The Plan administrator does not believe that the occurrence of such an event is probable.

There are no reserves against contract value for credit risk of the contract issuer or otherwise. The crediting interest rate is based on a formula agreed upon with the issuer, but it may not be less than 0%. Such interest rates are reviewed on a quarterly basis for resetting.

As of December 31, 2020, the contract value of the Plan's fully benefit-responsive synthetic GICs within the Stable Value Fund was approximately \$654.6 million. As of December 31, 2019, the contract value of the Plan's fully benefit-responsive synthetic guaranteed contracts within the Stable Value Fund was approximately \$558.9 million.

7. Fair Value Measurements

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

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

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

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

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

Changes in Fair Value Levels

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

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

We evaluated the classification of the Stable Value Fund collective investments trusts in consideration of FASB Accounting Standards Update (ASU) 2018-09 *Codification Improvement*. The amendment removes the stable value common collective trust fund from the illustrative example in FASB ASC 962-325-55-17 to avoid the interpretation that such an investment would never have a readily determinable fair value. As a result of our evaluation, the Stable Value Fund collective investments trusts has been reclassified to Level 1 from investments measured at net asset value because the fair value of the Stable Value Fund collective investments trusts is readily determinable.

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2020 (in thousands):

Description	2020	
	Total Level 1	Total
BrokerageLink	\$ 866,545	\$ 866,545
Stable Value Fund - collective investment trusts	37,127	37,127
Investments measured at net asset value:		
Duke Energy Common Stock Fund		1,280,782
Commingled funds		2,266,116
Institutional funds		4,760,442
Total investments at fair value		\$ 9,211,012

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2019 (in thousands):

Description	2019	
	Total Level 1	Total
BrokerageLink	\$ 671,799	\$ 671,799
Stable Value Fund - collective investment trusts	36,437	36,437
Investments measured at net asset value:		
Duke Energy Common Stock Fund		1,412,099
Commingled funds		2,102,120
Institutional funds		4,258,525
Total investments at fair value		\$ 8,480,980

Valuation methods of the primary fair value measurements disclosed above are as follows. There have been no changes in the methodologies used at December 31, 2020 or 2019.

Common Stock Fund: Valued at the closing price in the principal active market on which the securities are traded. Principal active markets include published exchanges such as National Association of Securities Dealers Automated Quotations (NASDAQ), New York Stock Exchange (NYSE), New York Mercantile Exchange (NYMEX) and Chicago Board of Trade, as well as pink sheets, which is an electronic quotation system that displays quotes for broker-dealers for many over-the-counter securities. The Plans' investments in common stock within the BrokerageLink account are valued using Level 1 measurements.

DUKE ENERGY RETIREMENT SAVINGS PLAN

Notes to Financial Statements

December 31, 2020 and 2019

The Duke Energy Common Stock Fund is comprised of common stock as well as cash and cash equivalents. The value of a unit reflects the combined market value of the underlying stock and market value of the short-term cash position. The market value of the common stock portion of the fund is based on the closing market price of the common stock on the NYSE times the number of shares held in the fund. The market value of the cash and cash equivalents is based on the net asset value of shares held in the Fidelity Institutional Money Market Treasury Portfolio Class I.

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

Commingled funds: Valued at the net asset value of shares held by the Plan at year end.

Stable Value Fund: The Plan's investment in the Stable Value Fund's collective investment trusts are valued using Level 1 measurements. Investments in the Stable Value Fund collective investment trusts are based on the underlying unit value reported by the Wells Fargo/BlackRock Short Term Investment Fund S. The Plan does not allow for direct exchanges from the Stable Value Fund to the BrokerageLink account. Exchanges from the Stable Value Fund must be made first with another Plan fund and held by that Plan fund for at least 90 days before an exchange can occur with the BrokerageLink account.

8. Plan Changes

Effective as of January 1, 2019, the Plan was amended to modify the hardship withdrawal rules to address IRS regulations, including (i) eliminating the requirement to first obtain all nontaxable loans, (ii) permitting earnings on before-tax and Roth contributions to be withdrawn, (iii) expanding eligibility for casualty loss withdrawals, and (iv) eliminating 6-month suspension from making elective contributions.

Effective as of January 1, 2019, the Plan was amended to (i) clarify the treatment of back pay for employees who are reinstated pursuant to Duke Energy's Employee Recourse Policy or in accordance with a grievance settlement or arbitration/judicial settlement, (ii) modify the nondiscrimination testing provisions for collective bargaining employees, (iii) modify the correction ordering rule when IRS maximum benefits are exceeded, and (iv) modify the minimum required distribution provisions for beneficiaries.

Effective as of January 2, 2019, the Plan was amended to permit the hardship withdrawal of amounts attributable to qualified non-elective contributions (QNECs).

Effective as of February 1, 2019, the Plan was amended to permit hardship withdrawal of amounts attributable to employer matching contributions, deferred profit sharing contributions, and Roth basic contributions.

Effective as of November 1, 2019, the Plan was amended to (i) add in-plan Roth rollover contributions, (ii) increase the small amount cash-out to \$5,000 and (iii) revise the provisions regarding unclaimed benefits.

Effective as of January 1, 2020, the Plan was amended to update the hardship withdrawal provisions in light of final IRS regulations.

Effective as of December 31, 2020, the REC Plans were merged into the Plans.

Effective as of January 25, 2020, the small benefit cash-out provisions were revised.

Effective as of January 1, 2020, the minimum required distribution provisions of the Plan were revised to reflect the changes made by the Setting Every Community Up for Retirement Enhancement (SECURE) Act.

Effective as of May 4, 2020, the Plan's claims procedure was updated to reflect the COVID-19 pandemic relief regarding time deadlines.

Effective as of March 27, 2020, special COVID-19 pandemic relief for in-service distribution, participant loan limits and loan repayment provisions were adopted by the Plan as permitted by the CARES Act.

Effective as of January 1, 2020, miscellaneous clarifications were made to the Plan.

SUPPLEMENTARY INFORMATION

DUKE ENERGY RETIREMENT SAVINGS PLAN

EIN: 20-2777218 PN: 002

Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)

December 31, 2020

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Market Value (in thousands)
*	Duke Energy Common Stock Fund	Common Stock	**	\$ 1,280,782
*	US Equity SM/MD Cap I	Institutional Fund	**	675,814
*	US Eq All Cap Blend	Institutional Fund	**	750,156
*	Non-US Equity Blend	Institutional Fund	**	870,798
*	Fixed Income Blend	Institutional Fund	**	656,621
*	US Eq S&P 500 Index	Institutional Fund	**	2,228,302
*	Retirement Fund 2010	Institutional Fund	**	18,500
*	Retirement Fund 2015	Institutional Fund	**	44,119
*	Retirement Fund 2020	Institutional Fund	**	183,896
*	Retirement Fund 2025	Institutional Fund	**	300,824
*	Retirement Fund 2030	Institutional Fund	**	292,369
*	Retirement Fund 2035	Institutional Fund	**	211,889
*	Retirement Fund 2040	Institutional Fund	**	190,251
*	Retirement Fund 2045	Institutional Fund	**	203,716
*	Retirement Fund 2050	Institutional Fund	**	160,634
*	Retirement Fund 2055	Institutional Fund	**	122,852
*	Retirement Fund 2060	Institutional Fund	**	43,308
*	Post Retirement Fund	Institutional Fund	**	34,698
	Diversified RL Asset	Institutional Fund	**	8,697
	Brokeragelink	Self-Directed Brokerage Account	**	866,545
	Stable Value Fund	Common Collective Trust Fund	**	691,711
	RREEF Global Real Estate	Institutional Fund	**	29,114
	Total investments			\$ 9,865,596
*	Participant Loans	Participant Loans	-0-	145,707
		Interest Rates of 3.25% - 9.25%		
	Total			\$ 10,011,303

* Permitted party-in-interest

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

Schedule C Line 3(e) Attachment

Name of Plan: Duke Energy Retirement Savings Plan

Year End: 12/31/2019

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

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	State	Zip
001413541	INVESCO	60	0.40%	INVESCO DIVERSIFIED DIVIDEND CLASS A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00141A867	INVESCO	60	0.40%	INVESCO FLOATING RATE ESG CLASS A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00141G666	INVESCO	60	0.40%	INVESCO DISCOVERY A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00141G872	INVESCO	60	0.40%	INVESCO SENIOR FLOATING RATE A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00141V838	INVESCO	60	0.10%	INVESCO EMERGING MARKETS ALL CAP Y	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
001421288	INVESCO	60	0.10%	INVESCO INTERMEDIATE BOND FACTOR Y	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00142J453	INVESCO	60	0.10%	INVESCO EQUITY AND INCOME FUND CL C	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00142J578	INVESCO	60	0.40%	INVESCO AMERICAN FRANCHISE FUND CL A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00143K772	INVESCO	60	\$10.00	INVESCO GLOBAL STRAT INCOME R	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00143N750	INVESCO	60	0.40%	INVESCO GOLD & SPEC MINERALS A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00143W701	INVESCO	60	0.40%	INVESCO DEVELOPING MARKETS A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00143W800	INVESCO	60	0.10%	INVESCO DEVELOPING MARKETS C	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00170J748	MANAGERS FUNDS	60	0.40%	AMG MANAGERS CENTER SQUARE REAL ESTATE N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170K554	MANAGERS FUNDS	60	0.40%	AMG SOUTHERNSUN SMALL-CAP N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170K562	MANAGERS FUNDS	60	0.07%	AMG YACKTMAN FOCUSED I	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170K570	MANAGERS FUNDS	60	0.40%	AMG YACKTMAN FOCUSED N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170K588	MANAGERS FUNDS	60	0.40%	AMG YACKTMAN FUND I	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170K711	MANAGERS FUNDS	60	0.40%	AMG TIMESSQUARE INTERNL SMALLCAP N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170L602	MANAGERS FUNDS	60	0.40%	AMG MANAGERS CADENCEMID CAP N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170L842	MANAGERS FUNDS	60	0.40%	AMG MANAGERS LOOMIS SAYLES BOND FUND N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00170L867	MANAGERS FUNDS	60	0.40%	AMG MANAGERS SPECIALEQUITY N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00171A738	MANAGERS FUNDS	60	0.40%	AMG MANAGERS FAIR POINTE MID CAP CL N	600 STEAMBOAT ROAD, SUITE 300	GREENWICH	CT	06830
00191K450	AQR FUNDS	60	0.10%	AQR CORE PLUS BOND FUND CL I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H412	AQR FUNDS	60	0.40%	AQR STYLE PREMIA ALTERNATIVE CL N	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H420	AQR FUNDS	60	0.10%	AQR STYLE PREMIA ALTERNATIVE CL I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H461	AQR FUNDS	60	0.10%	AQR MANAGED FUTURES STRATEGY HV CL I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H719	AQR FUNDS	60	0.15%	AQR LARGE CAP DEFENSIVE STYLE FD I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H750	AQR FUNDS	60	0.40%	AQR LARGE CAP DEFENSIVE STYLE CL N	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H842	AQR FUNDS	60	0.40%	AQR MANAGED FUTURES FUND CL N	1 GREENWICH PLAZA	GREENWICH	CT	06830
003022381	ABERDEEN FUNDS	60	0.15%	ABERDEEN INTNL REAL ESTATE EQUITY INSTL	1735 MARKET STREET, 32ND FLOOR	PHILADELPHIA	PA	19103
003022431	ABERDEEN FUNDS	60	0.15%	ABERDEEN DYNAMIC DIVIDEND INSTL	1735 MARKET STREET, 32ND FLOOR	PHILADELPHIA	PA	19103
00758M162	ACADIAN FUNDS	60	0.40%	ACADIAN EMERGING MARKETS PORT INVSTR	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456
00758M261	CAMBIAR FUNDS	60	0.40%	CAMBIAR OPPORTUNITY INVESTOR CL	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456
0075W0742	EDGEWOOD	60	0.40%	EDGEWOOD GROWTH FUND RETAIL CLASS	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456
0075W0759	EDGEWOOD	60	0.12%	EDGEWOOD GROWTH FUND INSTL CL	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456
00764F201	ADVISOR ONE FUNDS	60	0.40%	ADVISORONE CLS GLOBLDIVERFIED EQUITY N	17605 WRIGHT STREET	OMAHA	NE	68130
00764F300	ADVISOR ONE FUNDS	60	0.40%	ADVISORONE CLS GROWTH AND INC CL N	17605 WRIGHT STREET	OMAHA	NE	68130
00764F433	ADVISOR ONE FUNDS	60	0.40%	ADVISORONE CLS SHELTER CL N	17605 WRIGHT STREET	OMAHA	NE	68130
00764F441	ADVISOR ONE FUNDS	60	0.40%	ADVISORONE CLS GLOBLAGGRESSIVE EQUITY N	17605 WRIGHT STREET	OMAHA	NE	68130
00764F458	ADVISOR ONE FUNDS	60	0.40%	ADVISORONE CLS FLEXIBLE INC CL N	17605 WRIGHT STREET	OMAHA	NE	68130
00771F202	ADVISORS PREFERRED FUNDS	60	0.40%	ADV PREFERRED GOLD BULLION STRAT INV	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771F400	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PRFD QUANFDMANAGED INCOME INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771F608	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PRFD QUANFDMARKET LEADERS INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771F632	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED COMMON GROUND FD INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771F665	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED EVOLUTION PLUS INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771F673	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED TACTICAL FIXED INC INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850

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00771F707	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PRFD QUANFDALTER INVSTMNT INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771F749	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PREFERRED QUANTIFIED STF INVST	1445 RESEARCH BLVD SUITE 530	ROCKVILLE	MD	20850
00771X419	GQG PARTNERS FUND	60	0.15%	GQG PARTNERS EMERG MARKETS EQ INSTL	1 FREEDOM VALLEY DRIVE	OAKS	PA	19456
00900W100	INVESCO	60	0.40%	INVESCO GLOBAL A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00900W571	INVESCO	60	0.40%	INVESCO INTL SMALL MID COMPANY A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00900W647	INVESCO	60	0.40%	INVESCO OPPENHEIMER INTL GROWTH A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00900W746	INVESCO	60	\$10.00	INVESCO GLOBAL OPPORTUNITIES R	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
00900W779	INVESCO	60	0.40%	INVESCO GLOBAL OPPORTUNITIES A	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046
015565369	ALGER GROUP	60	0.15%	ALGER SMALL CAP FOCUS CLASS Z	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311
015565450	ALGER GROUP	60	0.40%	ALGER SMALL CAP FOCUS CLASS A	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311
01853W105	ALLIANCE CAPITAL FUNDS	60	0.10%	AB GLOBAL BOND CLASS A	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230
018636100	ALLIANCE CAPITAL FUNDS	60	0.40%	AB DISCOVERY GROWTH CLASS A	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230
01877C101	ALLIANCE CAPITAL FUNDS	60	0.40%	AB LARGE CAP GROWTH CLASS A	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230
01877E107	ALLIANCE CAPITAL FUNDS	60	0.40%	AB SMALL CAP GROWTH PORT CLASS A	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230
01877F401	ALLIANCE CAPITAL FUNDS	60	0.40%	AB GROWTH CLASS A	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230
01881M467	ALLIANCE CAPITAL FUNDS	60	0.40%	AB INCOME FUND CL A	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230
018866103	IMAN FUND	60	0.40%	IMAN FUND RETAIL SHARES	721 ENTERPRISE DRIVE	OAKBROOK	IL	60523
018918458	ALLIANZ FUNDS	60	0.40%	ALLIANZGI LARGE CAP VALUE CL A	1633 BROADWAY	NEW YORK	NY	10019
018919704	ALLIANZ FUNDS	60	0.40%	ALLIANZGI MID CAP CL A	1633 BROADWAY	NEW YORK	NY	10019
018920496	ALLIANZ FUNDS	60	0.40%	ALLIANZGI INCOME & GROWTH CL A	1633 BROADWAY	NEW YORK	NY	10019
018920702	ALLIANZ FUNDS	60	0.40%	ALLIANZGI INT'L VALUE CL A	1633 BROADWAY	NEW YORK	NY	10019
01900A106	ALLIANZ FUNDS	60	0.40%	ALLIANZGI WATER FUND CL A	1633 BROADWAY	NEW YORK	NY	10019
02110A571	SEVEN CANYONS FUNDS	60	0.40%	SEVEN CANYONS WORLD INNOVATORS INVESTOR	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
02110A688	CLARKSTON FUNDS	60	0.12%	CLARKSTON PARTNERS FUND CL I	1290 BROADWAY STREET, SUITE 1100	DENVER	CO	80203
022865109	AMANA MUTUAL FUNDS	60	0.40%	AMANA MUTUAL FUND TRUST INCOME	1300 NORTH STATE STREET	BELLINGHAM	WA	98225
022865208	AMANA MUTUAL FUNDS	60	0.40%	AMANA MUTUAL FUND TRUST GROWTH	1300 NORTH STATE STREET	BELLINGHAM	WA	98225
023375405	AMERICAN CLASS F	60	0.37%	AMERICAN AMCAP FUND CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02368A620	AMERICAN BEACON FUNDS	60	0.40%	AMERICAN BEACON SMALL CAP INVESTOR	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039
02368A810	AMERICAN BEACON FUNDS	60	0.40%	AMERICAN BEACON LARGE CAP INVESTOR	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039
024071102	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN BALANCED CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
024071409	AMERICAN CLASS F	60	0.37%	AMERICAN BALANCED CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
024524118	AMERICAN BEACON FUNDS	60	0.40%	AMER BEACON BRDGWAY LARGE CAP VAL INVST	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039
024526204	AMERICAN BEACON FUNDS	60	0.40%	AMERICAN BEACON ARK TRANS INNOVTN INVSTR	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039
024526337	AMERICAN BEACON FUNDS	60	0.10%	AMERICAN BEACON AHL TARGET RISK CL Y	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039
024527301	AMERICAN BEACON FUNDS	60	0.10%	AMERICAN BEACON THE LONDON CO INC EQ Y	220 EAST LAS COLINAS BLVD, SUITE 1200	IRVING	TX	75039
024932253	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CENTURY SHTDUR STRAT INC INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
024932774	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CEN SHT DURINFL PROTECTN BD INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
024935603	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMER CENTURY ZERO COUPON 2025 INVT CL	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025076100	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY EQUITY INCOME INV CL	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025076506	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY VALUE INV CL	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025076654	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY MIDCAP VALUE INV SHS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025076795	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY FOCLARGE CAP VALUE INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
02507F738	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY ONECHOICE MOD INV CL	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
02507H502	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CEN FOCUSED DYNAMIC GROWTH INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
02507M881	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY UTILITIES INVESTOR	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025081506	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CENTURY SHORT TERM GOVT INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025081704	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CENTURY INFLN ADJ BOND INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025083882	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY ULTRA INVESTOR CLASS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
025086844	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY FOCUSED GLBL GR INVS	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111

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025086885	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY EMERGING MARKETS INV	4400 MAIN ST - 1ST FLOOR	KANSAS CITY	MO	64111
02629H406	AMERICAN CLASS F	60	0.37%	AMERICAN CORPORATE BOND FUND CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630R203	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN FUNDS GRWTH& INCOME PORT CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630R757	AMERICAN CLASS F	60	0.37%	AMERICAN FUNDS GROWTH PORT F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630T571	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN 2040 TARGETDATE RETIREMENT CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630Y588	AMERICAN CLASS F	60	0.37%	AMERICAN FDS TAX AWRCONS GR AND INC F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02631E409	AMERICAN CLASS F	60	0.37%	AMERICAN STRATEGIC BOND FUND F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
027681105	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN MUTUAL FUNDCLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
027681402	AMERICAN CLASS F	60	0.37%	AMERICAN MUTUAL FUNDCLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
03463K307	ANGEL OAK FUNDS	60	0.10%	ANGEL OAK MULTI STRATEGY INCOME CL A	400 CITY CENTER (MK-WI-CCCL)	OSHKOSH	WI	54901
03463K406	ANGEL OAK FUNDS	60	0.15%	ANGEL OAK MULTI STRATEGY INC INSTL	400 CITY CENTER (MK-WI-CCCL)	OSHKOSH	WI	54901
039491204	ARCHER FUNDS	60	0.08%	ARCHER STOCK FUND	9000 KEYSTONE CROSSING #630	INDIANAPOLIS	IN	46240
039491303	ARCHER FUNDS	60	0.08%	ARCHER DIVIDEND GROWTH FUND	9000 KEYSTONE CROSSING #630	INDIANAPOLIS	IN	46240
03951C106	ARCHER FUNDS	60	0.08%	ARCHER BALANCED	9000 KEYSTONE CROSSING #630	INDIANAPOLIS	IN	46240
040337842	ARIEL MUTUAL FUNDS	60	\$16.00	ARIEL FUND CLASS I	811 E. WISCONSIN AVENUE. MK-WI-J8NF	MILWAUKEE	WI	53202
04314H105	ARTISAN FUNDS	60	0.39%	ARTISAN SMALL CAP FUND INVESTOR CL	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H204	ARTISAN FUNDS	60	0.39%	ARTISAN INTERNATL INVESTOR CLASS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H303	ARTISAN FUNDS	60	0.39%	ARTISAN MID CAP	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H626	ARTISAN FUNDS	60	0.39%	ARTISAN DEVELOPING WORLD FD INVESTOR CL	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H717	ARTISAN FUNDS	60	0.10%	ARTISAN HIGH INCOME FUND ADVISOR	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H725	ARTISAN FUNDS	60	0.39%	ARTISAN HIGH INCOME FUND INVESTOR	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H824	ARTISAN FUNDS	60	0.39%	ARTISAN GLOBAL OPPORTUNITIES INV	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H840	ARTISAN FUNDS	60	0.39%	ARTISAN GLOBAL VALUE FD INVT SHARES	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04314H881	ARTISAN FUNDS	60	0.39%	ARTISAN INTL VALUE FUND INV CL	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202
04315J878	ABERDEEN FUNDS	60	0.40%	ABERDEEN GLOBAL HIGHINCOME FUND CL A	1735 MARKET STREET, 32ND FLOOR	PHILADELPHIA	PA	19103
05528X802	BBH FUNDS	60	0.15%	BBH LIMITED DURATIONFUND CLASS N	140 BROADWAY	NEW YORK	NY	10005
05586X108	DREYFUS GROUP	60	0.40%	BNY MELLON SMALL MIDCAP GROWTH A	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556
05588E868	DREYFUS GROUP	60	0.40%	BNY MELLON INTERNATIONAL BOND A	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556
05589K848	DREYFUS GROUP	60	0.35%	BNY MELLON BOND MRKTS INDEX INVESTOR	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556
057071862	BAIRD	60	0.28%	BAIRD AGGREGATE BONDFUND INVESTOR CL	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202
068278100	BARON ASSET FUNDS	60	0.40%	BARON ASSET	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
068278209	BARON ASSET FUNDS	60	0.40%	BARON GROWTH	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
068278308	BARON ASSET FUNDS	60	0.40%	BARON SMALL CAP FD	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
06828M108	BARON ASSET FUNDS	60	0.40%	BARON PARTNERS FUND	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
06828M702	BARON ASSET FUNDS	60	0.40%	BARON REAL ESTATE FUND RETAIL	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
06828M843	BARON ASSET FUNDS	60	0.40%	BARON GLOBAL ADVANTAGE FD RETAIL	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
06828M884	BARON ASSET FUNDS	60	0.40%	BARON EMERGING MARKETS FUND RETAIL	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153
084649102	BERKSHIRE FUNDS	60	0.40%	BERKSHIRE FOCUS FUND	475 MILAN DRIVE SUITE 103	SAN JOSE	CA	95134
091928309	BLACKROCK FUNDS	60	0.40%	BLACKROCK ADVANTAGE SM CAP GROWTH INV A	40 EAST 52ND STREET	NEW YORK	NY	10022
091928846	BLACKROCK FUNDS	60	0.40%	BLACKROCK MID CAP GROWTH EQUITY CL A	40 EAST 52ND STREET	NEW YORK	NY	10022
091929570	BLACKROCK FUNDS	60	0.40%	BLACKROCK TECHNOLOGYOPPORTUNITIES CL A	40 EAST 52ND STREET	NEW YORK	NY	10022
091936179	BLACKROCK FUNDS	60	0.30%	ISHARES TOTAL US STOCK MRKT INDX A	40 EAST 52ND STREET	NEW YORK	NY	10022
091937243	BLACKROCK FUNDS	60	0.40%	BLACKROCK ADVANTAGE INTERNATIONAL CL A	40 EAST 52ND STREET	NEW YORK	NY	10022
091937334	BLACKROCK FUNDS	60	0.40%	BLACKROCK ENERGY OPPORTUNITIES CL A	40 EAST 52ND STREET	NEW YORK	NY	10022
091937573	BLACKROCK FUNDS	60	0.40%	BLACKROCK HEALTH SCIENCES OPP PRT A	40 EAST 52ND STREET	NEW YORK	NY	10022
09251M108	BLACKROCK FUNDS	60	0.40%	BLACKROCK EQUITY DIVIDEND FD CL A	40 EAST 52ND STREET	NEW YORK	NY	10022
09251M504	BLACKROCK FUNDS	60	0.08%	BLACKROCK EQUITY DIVIDEND FD-INSTL	40 EAST 52ND STREET	NEW YORK	NY	10022
09251R107	BLACKROCK FUNDS	60	0.40%	BLACKROCK CAPITAL APPRECIATION INVT A	40 EAST 52ND STREET	NEW YORK	NY	10022
09251T103	BLACKROCK FUNDS	60	0.40%	BLACKROCK GLOBAL ALLOCATION CL A	40 EAST 52ND STREET	NEW YORK	NY	10022

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09252M107	BLACKROCK FUNDS	60	0.40%	BLACKROCK TOTAL RETURN FUND CL A	40 EAST 52ND STREET	NEW YORK	NY	10022
09256H344	BLACKROCK FUNDS	60	0.08%	BLACKROCK MULTI - ASSET INCOME FUND C	40 EAST 52ND STREET	NEW YORK	NY	10022
09256H351	BLACKROCK FUNDS	60	0.40%	BLACKROCK MULTI ASSET INCOME PORT A	40 EAST 52ND STREET	NEW YORK	NY	10022
09260B572	BLACKROCK FUNDS	60	0.40%	BLACKROCK INFLATION PRO BOND PORT INV A	40 EAST 52ND STREET	NEW YORK	NY	10022
09260B663	BLACKROCK FUNDS	60	0.40%	BLACKROCK HIGH YIELDBOND CLASS A	40 EAST 52ND STREET	NEW YORK	NY	10022
093001147	WILLIAM BLAIR MUTUAL FUNDS	60	0.40%	WILLIAM BLAIR MID CAP GRWTH FD CL N	222 WEST ADAMS STREET, 12TH FLOOR	CHICAGO	IL	60606
093001535	WILLIAM BLAIR MUTUAL FUNDS	60	0.40%	WILLIAM BLAIR LARGE CAP GROWTH FD N	222 WEST ADAMS STREET, 12TH FLOOR	CHICAGO	IL	60606
09661L401	DREYFUS GROUP	60	0.35%	BNY MELLON SMALLCAP STOCK INDEX INVESTOR	144 GLENN CURTISS BLVD 8TH FLOOR	UNIONDALE	NY	11556
104826201	FPA FUNDS	60	0.40%	FPA QUEENS ROAD SMALL CAP VALUE FUND	11601 WILSHIRE BLVD, SUITE 1200	LOS ANGELES	CA	90025
105262729	BRANDES INSTITUTIONAL FUNDS	60	0.40%	BRANDES INTERNATIONALSMALL CAP EQUITY A	11988 EL CAMINO RALO STE 500	SAN DIEGO	CA	92130
105262752	BRANDES INSTITUTIONAL FUNDS	60	0.12%	BRANDES EMERGING MARKETS VALUE CL I	11988 EL CAMINO RALO STE 500	SAN DIEGO	CA	92130
115233405	BROWN IA FUNDS	60	0.40%	BROWN ADVISORY SUSTAIN GROWTH ADV	777 E. WISCONSIN AVE, 4TH FLOOR	MILWAUKEE	WI	53202
115233504	BROWN IA FUNDS	60	0.08%	BROWN ADVISORY GRWTH EQUITY INVESTOR	777 E. WISCONSIN AVE, 4TH FLOOR	MILWAUKEE	WI	53202
115233827	BROWN IA FUNDS	60	0.40%	BROWN ADVISORY SMALLCAP GROWTH ADVISOR	777 E. WISCONSIN AVE, 4TH FLOOR	MILWAUKEE	WI	53202
115291742	BROWN CAPITAL MANAGEMENT	60	0.40%	BROWN INTERNATIONAL SMALL COMPANY INVEST	1290 BROADWAY, STE 1100	DENVER	CO	80203
119428100	BUFFALO FUNDS	60	0.40%	BUFFALO FLEXIBLE INCOME FUND	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202
119530103	BUFFALO FUNDS	60	0.40%	BUFFALO DISCOVERY FUND	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202
119530301	BUFFALO FUNDS	60	0.40%	BUFFALO EMERGING OPPORTUNITIES FUND	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202
119530509	BUFFALO FUNDS	60	0.40%	BUFFALO INTERNATIONAL FUND	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202
119530608	BUFFALO FUNDS	60	0.40%	BUFFALO DIVIDEND FOCUS FUND	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202
119826105	BUFFALO FUNDS	60	0.40%	BUFFALO GROWTH FUND	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202
128119575	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.40%	CALAMOS INTL GROWTH FUND CLASS A	2020 CALAMOS COURT	NAPERVILLE	IL	60563
13161P862	CALVERT GROUP	60	0.15%	CALVERT SMALL CAP CL I	4550 MONTGOMERY AVENUESUITE 1000 N	BETHESDA	MD	20814
131649790	CALVERT GROUP	60	0.10%	CALVERT EMERGING MARKETS EQUITY CL C	4550 MONTGOMERY AVENUESUITE 1000 N	BETHESDA	MD	20814
140193103	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN CAPITAL INCOME BUILDER CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140193400	AMERICAN CLASS F	60	0.37%	AMERICAN CAPITAL INCOME BUILDER CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140541103	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN CAPITAL WORLD BOND CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140543109	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN CAPITAL WORLD GRTH & INC A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140543406	AMERICAN CLASS F	60	0.37%	AMERICAN CAPITAL WORLD GRWTH & INC F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
14214M591	EAGLE FUND SERVICES	60	0.40%	CARILLON REAMS CORE PLUS BOND CL Y	P. O. BOX 33022	ST PETERSBURG	FL	337338022
14214M872	EAGLE FUND SERVICES	60	0.40%	CARILLON SCOUT MID CAP FUND CL I	P. O. BOX 33022	ST PETERSBURG	FL	337338022
149498206	CAUSEWAY	60	0.40%	CAUSEWAY EMERGING MRKTS FD INV CL	P. O. BOX 1100	OAKS	PA	19456
14949P109	CAUSEWAY	60	0.40%	CAUSEWAY INTERNATNALVALUE INVESTOR	P. O. BOX 1100	OAKS	PA	19456
156287104	CENTRE FUNDS	60	0.40%	CENTRE AMERICAN SELECT EQUITY INVSTR	1290 BROADWAY, SUITE 1100	DENVER	CO	80203
16140T202	CHARTWELL INVESTMENT PARTNERS, LL	60	0.12%	CHARTWELL INCOME FD	1205 WESTLAKES DRIVE, SUITE 100	BERWYN	PA	19312
191912401	COHEN & STEERS FUNDS	60	0.15%	COHEN & STEERS REAL ESTATE SECURITIES I	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017
192476109	COHEN & STEERS FUNDS	60	0.40%	COHEN & STEERS REALTY SHARES	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017
19248X109	COHEN & STEERS FUNDS	60	0.40%	COHEN & STEERS PREF SECURITIES INC A	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017
19248X307	COHEN & STEERS FUNDS	60	0.15%	COHEN & STEERS PREF SECURITIES INCOME I	280 PARK AVENUE, 10TH FLOOR	NEW YORK	NY	10017
197199755	COLUMBIA FUNDS	60	0.40%	COLUMBIA THERMOSTAT CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19763P390	COLUMBIA FUNDS	60	0.40%	COLUMBIA LARGE CAP VALUE CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765N278	COLUMBIA FUNDS	60	0.40%	COLUMBIA DIVIDEND INCOME CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765N492	COLUMBIA FUNDS	60	0.40%	COLUMBIA TOTAL RETURN BOND CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765P406	COLUMBIA FUNDS	60	0.40%	COLUMBIA CONTRARIAN CORE FUND CL I	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765Y712	COLUMBIA FUNDS	60	0.40%	COLUMBIA SELECT LRG CAP GROWTH CLASS A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766F142	COLUMBIA FUNDS	60	0.10%	COLUMBIA INCOME BUILDER FUND CLASS C	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766F167	COLUMBIA FUNDS	60	0.40%	COLUMBIA INCOME BUILDER FUND CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766F670	COLUMBIA FUNDS	60	0.10%	COLUMBIA FLOATING RATE FUND CL C	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766H320	COLUMBIA FUNDS	60	0.40%	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110

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19766H429	COLUMBIA FUNDS	60	0.40%	COLUMBIA SELIGMAN COM AND INFO CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766J102	COLUMBIA FUNDS	60	0.40%	COLUMBIA QUALITY INCOME CLASS A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766M881	COLUMBIA FUNDS	60	0.10%	COLUMBIA CORPORATE INCOME FUND CL I2	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
207019100	CONESTOGA	60	0.40%	CONESTOGA SMALL CAP INVESTOR CLASS	225 PICTORIA DRIVE, SUITE 450	CINCINNATI	OH	45246
233203504	DIMENSIONAL	60	0.02%	DFA US MICRO CAP PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203587	DIMENSIONAL	60	0.02%	DIMENSIONAL EMERGING MKTS VAL PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203595	DIMENSIONAL	60	0.02%	DFA US TARGETED VALUE PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203611	DIMENSIONAL	60	0.02%	DFA EMERGING MARKETS SMALL CAP	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203819	DIMENSIONAL	60	0.02%	DFA US SMALL CAP VALUE PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203827	DIMENSIONAL	60	0.02%	DFA US LARGE CAP VALUE PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
23320G133	DIMENSIONAL	60	0.02%	DFA US HIGH RELATIVE PROFIT PORT INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
238210306	PHAEACIAN FUNDS	60	0.10%	PHAEACIAN ACCENT INTL VALUE INVESTOR	801 S. CANAL STREET	CHICAGO	IL	60603
239080849	DAVIS FUNDS	60	0.08%	DAVIS GLOBAL FUND CL Y	2949 EAST ELVIRA ROAD SUITE 101	TUCSON	AZ	85756
245908751	DELAWARE GROUP	60	0.10%	DELAWARE CORPORATE BOND CLASS I	2005 MARKET STREET	PHILADELPHIA	PA	19103
245914817	DELAWARE GROUP	60	0.10%	DELAWARE EMERGING MKTS FD-INSTITUT CL	2005 MARKET STREET	PHILADELPHIA	PA	19103
245914825	DELAWARE GROUP	60	0.10%	DELAWARE EMERGING MARKETS CLASS C	2005 MARKET STREET	PHILADELPHIA	PA	19103
245914841	DELAWARE GROUP	60	0.10%	DELAWARE EMERGING MARKETS CLASS A	2005 MARKET STREET	PHILADELPHIA	PA	19103
246097109	DELAWARE GROUP	60	0.10%	DELAWARE SMALL CAP VALUE CLASS A	2005 MARKET STREET	PHILADELPHIA	PA	19103
25159K705	DWS INVESTMENTS	60	0.15%	DWS RREEF REAL ASSETS FUND INSTL CL	280 PARK AVE, FINANCE-PCAM CTRL, 9TH F NEW YORK	NEW YORK	NY	10026
25159L562	DWS INVESTMENTS	60	0.40%	DWS SCIENCE AND TECHNOLOGY FUND-A	280 PARK AVE, FINANCE-PCAM CTRL, 9TH F NEW YORK	NEW YORK	NY	10026
25159L877	DWS INVESTMENTS	60	0.40%	DWS ENHANCED COMMODITY STRATEGY A	280 PARK AVE, FINANCE-PCAM CTRL, 9TH F NEW YORK	NEW YORK	NY	10026
25264S502	DIAMOND HILL FUNDS	60	0.10%	DIAMOND HILL LARGE CAP CLASS A	325 JOHN H. MCCONNELL BLVD., SUITE 200 COLUMBUS	COLUMBUS	OH	43215
254939200	DIREXION FUNDS	60	0.40%	DIREXION MONTHLY NASDAQ100BULL2X INV	155 SEAPORT BOULEVARD, SUITE P8	BOSTON	MA	02210
257132704	DOMINI	60	0.40%	DOMINI IMPACT INTL EQUITY INVESTOR	536 BROADWAY 7TH FLOOR	NEW YORK	NY	10012
258620103	DOUBLELINE	60	0.06%	DOUBLELINE TOTAL RETURN BOND FD CL I	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
258620202	DOUBLELINE	60	0.40%	DOUBLELINE TOTAL RT BOND FD CL N	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
258620509	DOUBLELINE	60	0.06%	DOUBLELINE EMERGING MRTKS FIXED INC I	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
258620798	DOUBLELINE	60	0.06%	DOUBLELINE FLEXIBLE INCOME CL I	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
258620814	DOUBLELINE	60	0.40%	DOUBLELINE SHILLER ENHANCED CAP CL N	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
258620855	DOUBLELINE	60	0.40%	DOUBLELINE LOW DURATION CL N	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
258620863	DOUBLELINE	60	0.06%	DOUBLELINE LOW DURATION BOND CL I	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202
262028301	DRIEHAUS CAPITAL MANAGEMENT	60	0.40%	DRIEHAUS EMERGING MARKETS	25 EAST ERIE STREET	CHICAGO	IL	60611
262028749	DRIEHAUS CAPITAL MANAGEMENT	60	0.40%	DRIEHAUS SMALL CAP GROWTH INVESTOR CL	25 EAST ERIE STREET	CHICAGO	IL	60611
277902656	EATON VANCE GROUP	60	\$16.00	EATON VANCE ATLANTA CAP SMID CAP FD A	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277911129	EATON VANCE GROUP	60	\$16.00	EATON VANCE FLOATINGRATE FUND CLASS A	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923132	EATON VANCE GROUP	60	0.40%	PARAMETRIC COMMODITYSTRATEGIC INV CL	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923637	EATON VANCE GROUP	60	\$16.00	EATON VANCE FLOATINGRATE ADVANTAGE CL I	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923645	EATON VANCE GROUP	60	\$19.00	EATON VANCE FLOATINGRATE ADVANTAGE CL C	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923660	EATON VANCE GROUP	60	\$16.00	EATON VANCE FLOATINGRATE ADVANTAGE CL A	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
298706409	AMERICAN CLASS F	60	0.37%	AMERICAN EUROPACIFICGROWTH CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
300397106	EVERMORE FUNDS	60	0.40%	EVERMORE GLOBAL VALUE FD INVESTOR	777 EAST WISCONSIN AVE.	MILWAUKEE	WI	53202
30254T759	FPA FUNDS	60	0.35%	FPA CRESCENT FUND	11601 WILSHIRE BLVD, SUITE 1200	LOS ANGELES	CA	90025
302933205	FMI FUNDS	60	0.40%	FMI LARGE CAP FUND	777 EAST WISCONSIN AVENUE MK-WI-T4M	MILWAUKEE	WI	53202
302933304	FMI FUNDS	60	0.40%	FMI INTERNATIONAL	777 EAST WISCONSIN AVENUE MK-WI-T4M	MILWAUKEE	WI	53202
304871106	FAIRHOLME	60	0.10%	FAIRHOLME FUND	4400 BISCAYNE BOULEVARD	MIAMI	FL	33137
314172586	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES STR VAL DIV CL A	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515
314172636	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES KAUFMANN SM CAP A	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515
31417P502	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES STRATEGIC INC CL A	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515
314197104	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES OPPOR HIGH YLD BD SS	4000 ERICSSON DRIVE	WARRENDALE	PA	150867515

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31420C878	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES CAPTL INCOME CL A	4000 ERICSSON DRIVE	WARRENDAL	PA	150867515
317609220	EMERALD MUTUAL FUNDS	60	0.40%	EMERALD BANKING AND FINANCE FD INVESTOR	3175 OREGON PIKE	LEOLA	PA	17540
32008F101	FIRST EAGLE SOGEN FUNDS	60	0.40%	FIRST EAGLE OVERSEAS CLASS A	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F200	FIRST EAGLE SOGEN FUNDS	60	0.15%	FIRST EAGLE OVERSEAS CLASS I	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F408	FIRST EAGLE SOGEN FUNDS	60	0.40%	FIRST EAGLE GOLD CLASS A	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F507	FIRST EAGLE SOGEN FUNDS	60	0.40%	FIRST EAGLE GLOBAL CLASS A	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F606	FIRST EAGLE SOGEN FUNDS	60	0.15%	FIRST EAGLE GLOBAL CLASS I	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F705	FIRST EAGLE SOGEN FUNDS	60	0.09%	FIRST EAGLE GLOBAL CLASS C	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F804	FIRST EAGLE SOGEN FUNDS	60	0.09%	FIRST EAGLE OVERSEAS CLASS C	1345 AVENUE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
337941504	FIRSTHAND FUNDS	60	0.40%	FIRSTHAND TECHNOLOGYOPPORTUNITIES FUND	150 ALMADEN BLVD., SUITE 1250	SAN JOSE	CA	95113
337941827	FIRSTHAND FUNDS	60	0.40%	FIRSTHAND ALTERNATIVE ENERGY	150 ALMADEN BLVD., SUITE 1250	SAN JOSE	CA	95113
353496201	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN DYNATECH FUND A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496300	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN INCOME CLASS A1	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496474	FRANKLIN GROUP OF FUNDS	60	0.35%	FRANKLIN UTILITIES CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496490	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN INCOME CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496805	FRANKLIN GROUP OF FUNDS	60	\$19.00	FRANKLIN INCOME CLASS C	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353535107	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN GOLD AND PRECIOUS METALS CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353612682	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN MANAGED INCOME FUND CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
354713505	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN STRATEGIC INCOME CLASS A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
35472P844	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN FOUNDING FDALLOCATION CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
359246840	FROST FUNDS	60	0.40%	FROST TOTAL RETURN BOND FD INVESTOR	P.O. BOX 2509	SAN ANTONIO	TX	782992509
360802102	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN FUNDAMENTALINVESTORS CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
360802409	AMERICAN CLASS F	60	0.37%	AMERICAN FUNDAMENTALINVESTORS CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
360873665	POLN GROWTH FUNDS	60	0.40%	POLN GROWTH FUND RETAIL SHARES	1825 NW CORPORATE BLVD, SUITE 300	BOCA RATON	FL	33431
362395105	GABELLI/WESTWOOD FUNDS	60	0.35%	GABELLI ASSET FUND AAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
36239R107	GABELLI/WESTWOOD FUNDS	60	0.40%	GABELLI GOLD FUND CLAAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
36239T103	GABELLI/WESTWOOD FUNDS	60	0.35%	GABELLI SMALL CAP GROWTH AAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
36239T202	GABELLI/WESTWOOD FUNDS	60	0.35%	GABELLI EQUITY INCOME FUND AAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
36240E103	GABELLI/WESTWOOD FUNDS	60	0.35%	GABELLI UTILITIES	401 THEODORE FREMD. AVE.	RYE	NY	10580
378690747	GLENMEDE	60	0.40%	GLENMEDE SECURED OPTIONS PORTFOLIO	1650 MARKET ST. SUITE 1200	PHILADELPHIA	PA	19103
378690770	GLENMEDE	60	0.40%	GLENMEDE LARGE CAP GROWTH	1650 MARKET ST. SUITE 1200	PHILADELPHIA	PA	19103
38141W562	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS INCOMEBUILDER FUND A	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38141W612	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS SMALL CAP VALUE CLASS A	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38141W661	GOLDMAN SACHS ASSET MGMT GROUP	60	0.50%	GOLDMAN SACHS HIGH YIELD SVS SHRS	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38143H340	GOLDMAN SACHS ASSET MGMT GROUP	60	0.08%	GOLDMAN SACHS SATELLITE PORT CL C	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38143H696	GOLDMAN SACHS ASSET MGMT GROUP	60	0.08%	GOLDMAN SACHS US EQUITY DIV PREM C	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38143H712	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS US EQUITY DIV PREM CL A	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38143H845	GOLDMAN SACHS ASSET MGMT GROUP	60	0.07%	GOLDMAN SACHS INVEST GRADE CRED FD INSTL	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38144N627	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS INTL SM CAP INSIGHTS A	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38145C315	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS RISINGDIVIDEND GROWTH CL A	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
38150C671	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS CLEAN ENERGY INCOME A	71 S. WACKER DRIVE, 4TH FLOOR	CHICAGO	IL	60606
399874106	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN GROWTH FUND OF AMERICA CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
399874403	AMERICAN CLASS F	60	0.37%	AMERICAN GROWTH FUND OF AMERICA CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
40168W483	RYDEX SERIES TRUST	60	0.09%	GUGGENHEIM LIMITED DURATION CL INSTL	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
40168W624	RYDEX SERIES TRUST	60	0.09%	GUGGENHEIM INVESTMNT GRADE BOND CL INSTL	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
40169J804	RYDEX SERIES TRUST	60	0.40%	GUGGENHEIM MACRO OPPORTUNITIES CL P	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
40169J879	RYDEX SERIES TRUST	60	0.40%	GUGGENHEIM TOTAL RETURN BOND CL P	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
402031405	GUINNESS ATKINSON FUNDS	60	0.40%	GUINNESS ATKINSON GLOBAL ENERGY	2220 E. ROUTE 66, SUITE 226	GLENDORA	CA	91740
402031801	GUINNESS ATKINSON FUNDS	60	0.35%	GUINNESS ATKINSON INFLATION MNGD DIV	2220 E. ROUTE 66, SUITE 226	GLENDORA	CA	91740

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409902830	JOHN HANCOCK FUNDS	60	0.40%	JOHN HANCOCK US GBLLEADERS GROWTH CL A	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
411511504	HARBOR FUNDS	60	0.10%	HARBOR CAP APP INST	111 S. WACKER DR, 34TH FLOOR	CHICAGO	IL	60606
411511645	HARBOR FUNDS	60	0.35%	HARBOR INTL INV	111 S. WACKER DR, 34TH FLOOR	CHICAGO	IL	60606
411511744	HARBOR FUNDS	60	0.35%	HARBOR LARGE CAP VALUE INV CLASS	111 S. WACKER DR, 34TH FLOOR	CHICAGO	IL	60606
411511819	HARBOR FUNDS	60	0.35%	HARBOR CAP APP INV	111 S. WACKER DR, 34TH FLOOR	CHICAGO	IL	60606
411511843	HARBOR FUNDS	60	0.10%	HARBOR SCV INST	111 S. WACKER DR, 34TH FLOOR	CHICAGO	IL	60606
412295305	HARDING LOEVNER	60	0.40%	HARDING LOEVNER EMERG MRKTS PORT ADV	PO BOX 4766	CHICAGO	IL	60680
413838103	OAKMARK FUNDS	60	0.35%	OAKMARK FUND INVESTOR CLASS	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838202	OAKMARK FUNDS	60	0.35%	OAKMARK INTL INVESTOR CL	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838400	OAKMARK FUNDS	60	0.35%	OAKMARK EQUITY & INCOME INVESTOR CL	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838509	OAKMARK FUNDS	60	0.35%	OAKMARK INTERNAT'L SMALL CAP INVESTOR	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838822	OAKMARK FUNDS	60	0.35%	OAKMARK GLOBAL SELECT FD INVESTOR	111 SOUTH WACKER DR.	CHICAGO	IL	60606
416529881	HARTFORD FUNDS	60	0.40%	HARTFORD GROWTH OPPORTUNITY CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416641207	HARTFORD FUNDS	60	0.15%	HARTFORD GROWTH OPPORT FD CL I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416645406	HARTFORD FUNDS	60	0.40%	HARTFORD CAPITAL APPRECIATION CL A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416645638	HARTFORD FUNDS	60	0.10%	HARTFORD CAPITAL APPRECIATION CL C	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416645844	HARTFORD FUNDS	60	0.40%	HARTFORD DIVIDEND & GROWTH CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416646198	HARTFORD FUNDS	60	0.35%	HARTFORD SHORT DURATION CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648228	HARTFORD FUNDS	60	0.10%	HARTFORD BALANCED INCOME FD CL C	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648244	HARTFORD FUNDS	60	0.35%	HARTFORD BALANCED INCOME FD CL A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648533	HARTFORD FUNDS	60	0.10%	HARTFORD FLOATING RATE CL C	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648889	HARTFORD FUNDS	60	0.40%	HARTFORD EQUITY INCOME CL A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416649887	HARTFORD FUNDS	60	0.15%	HARTFORD HEALTHCARE FUND CL I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
41664M334	HARTFORD FUNDS	60	0.40%	HARTFORD EMERGING MRKTS LOCAL DEBT A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
41665H235	HARTFORD FUNDS	60	0.15%	HARTFORD SCHRODERS US MID CAP OPP CL I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
422352500	HEARTLAND FUNDS	60	0.40%	HEARTLAND VALUE PLUS	789 N. WATER STREET	MILWAUKEE	WI	53202
422352815	HEARTLAND FUNDS	60	0.40%	HEARTLAND MID CAP VALUE INVESTOR	789 N. WATER STREET	MILWAUKEE	WI	53202
425888302	HENNESSY FUNDS	60	0.40%	HENNESSY CORNERSTONEMID CAP 30 INV CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
425888609	HENNESSY FUNDS	60	0.12%	HENNESSY CORNERSTONE MID CAP 30 INSTL CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P205	HENNESSY FUNDS	60	0.40%	HENNESSY CORNERSTONELARGE GRWTH INV CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P700	HENNESSY FUNDS	60	0.40%	HENNESSY FOCUS FUND INVESTOR CLASS	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P833	HENNESSY FUNDS	60	0.40%	HENNESSY GAS UTILITYINVESTOR CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P882	HENNESSY FUNDS	60	0.40%	HENNESSY LARGE CAP FINANCIAL INVSTR CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
448108100	HUSSMAN	60	\$12.00	HUSSMAN STRATEGIC GROWTH	225 PICTORIA DRIVE, SUITE 450	CINCINNATI	OH	45246
45070A107	IVA FUNDS	60	0.10%	IVA WORLDWIDE FUND CL A	717 FIFTH AVENUE 10TH FL	NEW YORK	NY	10022
45070A305	IVA FUNDS	60	0.10%	IVA INTERNATIONAL FUND CL A	717 FIFTH AVENUE 10TH FL	NEW YORK	NY	10022
45070A503	IVA FUNDS	60	0.10%	IVA WORLDWIDE FUND CL C	717 FIFTH AVENUE 10TH FL	NEW YORK	NY	10022
45070A602	IVA FUNDS	60	0.10%	IVA INTERNATIONAL FUND CL C	717 FIFTH AVENUE 10TH FL	NEW YORK	NY	10022
453320103	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN INCOME FUND OF AMERICA CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
453320400	AMERICAN CLASS F	60	0.37%	AMERICAN INCOME FUND OF AMERICA CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
460953102	KINETICS (INTERNET) FUNDS	60	0.40%	THE INTERNET FUND	470 PARK AVENUE SOUTH	NEW YORK	NY	10016
461195109	INTREPID CAPITAL FUND	60	0.40%	INTREPID ENDURANCE FUND INVESTOR CLASS	1400 MARSH LANDING PKWY. SUITE 106	JACKSONVILLE BEACH	FL	32250
461308108	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN INVESTMNT CO OF AMERICA CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
461418386	WCM FUNDS	60	0.40%	WCM FOCUSED INTL GROWTH FUND INVESTOR	2220 EAST ROUTE 66, SUITE 226	GLENDORA	CA	91740
46141P677	EURO PACIFIC FUNDS	60	0.08%	EUROPAC GOLD FUND CLASS A	LOTS 81-82, STREET C, SUITE 204	DORADO	PR	00646
46141P818	WCM FUNDS	60	0.15%	WCM FOCUSED GLOBAL GROWTH FUND INSTL	2220 EAST ROUTE 66, SUITE 226	GLENDORA	CA	91740
46141T448	AXS FUNDS	60	0.40%	AXS MULTI STRATEGY ALTERNATIVES R1	181 WESTCHESTER AVENUE, SUITE 402	PORT CHESTER	NY	10573
465897866	IVY FUNDS	60	0.40%	IVY EMERGING MARKETSEQUITY CL A	6300 LAMAR AVE	OVERLAND PARK	KS	66202
466000668	IVY FUNDS	60	0.40%	IVY HIGH INCOME CL A	6300 LAMAR AVE	OVERLAND PARK	KS	66202

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	State	Zip
466000718	IVY FUNDS	60	0.40%	IVY SCIENCE & TECHNOLOGY CL A	6300 LAMAR AVE	OVERLAND PARK	KS	66202
46602Q206	NATIXIS GLOBAL ASSOCIATES	60	0.05%	LOOMIS SAYLES GLOBAL ALLOCATION CLASS C	399 BOYLSTON STREET, 8TH FLOOR	BOSTON	MA	02116
46637K240	JP MORGAN FUNDS	60	0.40%	JPMORGAN INCOME FUNDCLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
470259102	JAMES ADVANTAGE	60	0.40%	JAMES BALANCED: GOLDEN RAINBOW FUND	1290 BROADWAY ST. SUITE 1100	DENVER	CO	80203
471023200	JANUS FUNDS	60	0.35%	JANUS HENDERSON GROWTH & INCOME T	151 DETROIT ST.	DENVER	CO	80206
471023333	JANUS FUNDS	60	\$14.00	JANUS HENDERSON GLOB TECH & INNOV I	151 DETROIT ST.	DENVER	CO	80206
471023507	JANUS FUNDS	60	0.35%	JANUS HENDERSON VENTURE T	151 DETROIT ST.	DENVER	CO	80206
471023549	JANUS FUNDS	60	0.35%	JANUS HENDERSON TRITON T	151 DETROIT ST.	DENVER	CO	80206
471023572	JANUS FUNDS	60	0.35%	JANUS HENDERSON SMALL CAP VALUE T	151 DETROIT ST.	DENVER	CO	80206
471023598	JANUS FUNDS	60	0.35%	JANUS HENDERSON MID CAP VALUE T	151 DETROIT ST.	DENVER	CO	80206
471023606	JANUS FUNDS	60	0.35%	JANUS HENDERSON FLEXIBLE BOND T	151 DETROIT ST.	DENVER	CO	80206
471023655	JANUS FUNDS	60	0.35%	JANUS HENDERSON CONTRARIAN T	151 DETROIT ST.	DENVER	CO	80206
471023663	JANUS FUNDS	60	0.35%	JANUS HENDERSON GLOB TECH & INNOV T	151 DETROIT ST.	DENVER	CO	80206
471023671	JANUS FUNDS	60	0.35%	JANUS HENDERSON GL LIFE SCIENCES T	151 DETROIT ST.	DENVER	CO	80206
471023762	JANUS FUNDS	60	0.35%	JANUS HENDERSON HIGH-YIELD T	151 DETROIT ST.	DENVER	CO	80206
471023804	JANUS FUNDS	60	0.35%	JANUS HENDERSON ENTERPRISE T	151 DETROIT ST.	DENVER	CO	80206
471023846	JANUS FUNDS	60	0.35%	JANUS HENDERSON OVERSEAS T	151 DETROIT ST.	DENVER	CO	80206
471023879	JANUS FUNDS	60	0.35%	JANUS HENDERSON BALANCED T	151 DETROIT ST.	DENVER	CO	80206
471023887	JANUS FUNDS	60	0.35%	JANUS HENDERSON SHORT-TERM BOND T	151 DETROIT ST.	DENVER	CO	80206
47103A625	JANUS FUNDS	60	0.35%	JANUS HENDERSON FORTY T	151 DETROIT ST.	DENVER	CO	80206
47103D470	JANUS FUNDS	60	0.35%	JANUS HENDERSON MULTISECTOR INCOME T	151 DETROIT ST.	DENVER	CO	80206
47103X443	JANUS FUNDS	60	0.35%	JANUS HENDERSON GLBLEQUITY INCOME T	151 DETROIT ST.	DENVER	CO	80206
47103X534	JANUS FUNDS	60	\$14.00	JANUS HENDERSON GLBLEQUITY INCOME CL A	151 DETROIT ST.	DENVER	CO	80206
476313101	JENSEN FUNDS	60	0.40%	JENSEN QUALITY GROWTH FD CL J	811 E. WISCONSIN AVE, 8TH FLOOR	MILWAUKEE	WI	53202
47803P328	JOHN HANCOCK FUNDS	60	0.40%	JOHN HANCOCK DISCIPLVALUE INTL FD CL A	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
47803T619	JOHN HANCOCK FUNDS	60	0.40%	JOHN HANCOCK INTL GROWTH CL A	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
47803W406	JOHN HANCOCK FUNDS	60	0.10%	JOHN HANCOCK DISCIPL INED VALUE MID CAP	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
4812A0227	JP MORGAN FUNDS	60	0.40%	JPMORGAN INTREPID GROWTH FD CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A0623	JP MORGAN FUNDS	60	0.15%	JPMORGAN EMERGING MKTS EQUITY CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1365	JP MORGAN FUNDS	60	0.40%	JPMORGAN SMALL CAP EQUITY CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1373	JP MORGAN FUNDS	60	0.15%	JPMORGAN SMALL CAP EQUITY FND CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1464	JP MORGAN FUNDS	60	0.15%	JPMORGAN US VALUE CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A2413	JP MORGAN FUNDS	60	0.40%	JP MORGAN US LARGE CAP CORE PLUS CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A3288	JP MORGAN FUNDS	60	0.38%	JP MORGAN INCOME BUILDER FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A3502	JP MORGAN FUNDS	60	0.40%	JPMORGAN SMART RET 2020 CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A4385	JP MORGAN FUNDS	60	0.40%	JP MORGAN STRATEGIC INCOME OPPORT A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0357	JP MORGAN FUNDS	60	0.38%	JPMORGAN CORE BOND FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0381	JP MORGAN FUNDS	60	0.15%	JPMORGAN CORE BOND CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0464	JP MORGAN FUNDS	60	0.40%	JPMORGAN EQUITY INCOME FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0498	JP MORGAN FUNDS	60	0.15%	JPMORGAN EQUITY INCOME CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0506	JP MORGAN FUNDS	60	0.40%	JPMORGAN LARGE CAP GROWTH CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0845	JP MORGAN FUNDS	60	0.15%	JPMORGAN CORE PLUS BOND CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C1306	JP MORGAN FUNDS	60	0.40%	JPMORGAN SHORT DURATION BOND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C1413	JP MORGAN FUNDS	60	0.35%	JPMORGAN LIMITED DURATION BOND FD A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C1710	JP MORGAN FUNDS	60	0.15%	JPMORGAN DIVERS MID CAP GROWTH CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
494613706	KINETICS (INTERNET) FUNDS	60	0.40%	KINETICS SMALL CAP OPPORTUNITIES	470 PARK AVENUE SOUTH	NEW YORK	NY	10016
52106N442	LAZARD FUNDS	60	0.40%	LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112
52106N467	LAZARD FUNDS	60	0.40%	LAZARD DEVELOPING MRKTS EQ CL SHARES	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112
52106N590	LAZARD FUNDS	60	0.10%	LAZARD INTL STRATEGY EQUITY PORT INTL CL	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	State	Zip
524686540	LEGG MASON	60	0.40%	CLEARBRIDGE INTERN'TGROWTH FD CL A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
52469F317	LEGG MASON	60	0.40%	WESTERN ASSET CORP BOND A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
52469F366	LEGG MASON	60	0.40%	WESTERN ASSET MORT TTL RTRN A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
52469F630	LEGG MASON	60	0.40%	WESTERN ASSET SHORT DURATION HIGH INC A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
52469H826	LEGG MASON	60	0.40%	CLEARBRIDGE LARGE CAP GROWTH A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
52471R648	LEGG MASON	60	0.40%	CLEARBRIDGE SELECT FUND CL A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
527289102	LEUTHOLD FUNDS	60	0.40%	LEUTHOLD CORE INVESTMENT RETAIL	33 SOUTH SIXTH ST. SUITE 4600	MINNEAPOLIS	MN	55402
527289797	LEUTHOLD FUNDS	60	0.40%	LEUTHOLD GRIZZLY SHORT FUND	33 SOUTH SIXTH ST. SUITE 4600	MINNEAPOLIS	MN	55402
543069405	LONGLEAF PARTNERS	60	\$20.00	LONGLEAF INTERNATL	6410 POPLAR AVENUE, SUITE 900	MEMPHIS	TN	38119
543495766	LOOMIS SAYLES FUNDS	60	0.05%	LOOMIS SAYLES INFLAT PROT SEC INST'L	399 BOYLSTON STREET, 8TH FL	BOSTON	MA	02116
543495832	LOOMIS SAYLES FUNDS	60	0.35%	LOOMIS SAYLES BOND RETAIL SHARES	399 BOYLSTON STREET, 8TH FL	BOSTON	MA	02116
543495840	LOOMIS SAYLES FUNDS	60	0.20%	LOOMIS SAYLES BOND INSTL	399 BOYLSTON STREET, 8TH FL	BOSTON	MA	02116
543915326	LORD ABBETT FAMILY OF FUNDS	60	0.45%	LORD ABBETT GROWTH LEADERS FUND CL A	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
543916191	LORD ABBETT FAMILY OF FUNDS	60	0.37%	LORD ABBETT FLOATING RATE FD CL A	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
543916670	LORD ABBETT FAMILY OF FUNDS	60	0.10%	LORD ABBETT INCOME CLASS I	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
543916845	LORD ABBETT FAMILY OF FUNDS	60	0.37%	LORD ABBETT TOTAL RETURN CL A	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
544004104	LORD ABBETT FAMILY OF FUNDS	60	0.37%	LORD ABBETT BOND DEBENTURE CLASS A	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
544006109	LORD ABBETT FAMILY OF FUNDS	60	0.45%	LORD ABBETT DEVELOP GROWTH CLASS A	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
54400N102	LORD ABBETT FAMILY OF FUNDS	60	0.37%	LORD ABBETT HIGH YIELD CLASS A	90 HUDSON STREET 10TH FLOOR	JERSEY CITY	NJ	07302
55273E673	MFS FAMILY OF FUNDS	60	0.40%	MFS EMERGING MARKETSDEBT CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273G330	MFS FAMILY OF FUNDS	60	0.40%	MFS INTERNATIONAL DIVERSIFICATION FD A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273G736	MFS FAMILY OF FUNDS	60	0.40%	MFS GROWTH ALLOCATION CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273H270	MFS FAMILY OF FUNDS	60	0.08%	MFS LOW VOLATILITIY EQUITY CLASS I	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273H312	MFS FAMILY OF FUNDS	60	0.40%	MFS LOW VOLATILITY EQUITY A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55278M100	MFS FAMILY OF FUNDS	60	0.40%	MFS NEW DISCOVERY VALUE FUND CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552981300	MFS FAMILY OF FUNDS	60	0.40%	MFS TOTAL RETURN CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552981888	MFS FAMILY OF FUNDS	60	0.40%	MFS INTERNATIONAL NEW DISCOVERY CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983462	MFS FAMILY OF FUNDS	60	0.40%	MFS TECHNOLOGY CLASSA	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983470	MFS FAMILY OF FUNDS	60	0.08%	MFS RESEARCH INTL FD CL I	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983553	MFS FAMILY OF FUNDS	60	0.40%	MFS NEW DISCOVERY CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983694	MFS FAMILY OF FUNDS	60	0.15%	MFS VALUE FUND CLASS I	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983801	MFS FAMILY OF FUNDS	60	0.40%	MFS VALUE CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552985103	MFS FAMILY OF FUNDS	60	0.40%	MFS GROWTH FUND CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
557492527	MADISON MOSAIC FUNDS	60	0.10%	MADISON HIGH QUALITY BOND FUND CL Y	550 SCIENCE DRIVE	MADISON	WI	53711
56062F541	MAINSTAY	60	0.40%	MAINSTAY MACKAY COMMON STOCK CL A	30 HUDSON STREET, 23RD FLOOR	ARLINGTON	NJ	07032
56062F772	MAINSTAY	60	0.40%	MAINSTAY MACKAY HIGHYIELD CORP BD CL A	30 HUDSON STREET, 23RD FLOOR	ARLINGTON	NJ	07032
56062F780	MAINSTAY	60	0.40%	MAINSTAY MACKAY CONVERTIBLE CL A	30 HUDSON STREET, 23RD FLOOR	ARLINGTON	NJ	07032
56064V205	MAIRS & POWERS	60	0.10%	MAIRS & POWER GROWTH FUND	777 E. WISCONSIN AVENUE, FLOOR 4 MK-V	MILWAUKEE	WI	53202
56166Y818	PENSION PARTNERS	60	0.40%	ATAC ROTATION FUND INVESTOR CL	615 E. MICHIGAN ST.	MILWAUKEE	WI	53202
56167N860	JACKSON SQUARE PARTNERS	60	0.12%	JACKSON SQUARE SMID CAP GROWTH INSTL	1 LETTERMAN DRIVE	SAN FRANCISCO	CA	94129
56167N878	JACKSON SQUARE PARTNERS	60	0.40%	JACKSON SQUARE SMID CAP GROWTH FD INVEST	1 LETTERMAN DRIVE	SAN FRANCISCO	CA	94129
56382R480	MANNING & NAPIER	60	0.40%	MANNING & NAPIER OVERSEAS SERIES CL S	290 WOODCLIFF DR.	FAIRPORT	NY	14450
573012309	MARSICO FUNDS	60	0.40%	MARSICO 21ST CENTURYFUND	235 WEST GALENA STREET	MILWAUKEE	WI	53212
573012606	MARSICO FUNDS	60	0.40%	MARSICO GLOBAL FUND	235 WEST GALENA STREET	MILWAUKEE	WI	53212
577125107	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS ASIA DIVIDEND FUND	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577125305	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS CHINA DIV FUND INVESTOR CLASS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577125404	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS CHINA SMALLCOMPANIES INVESTOR	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130107	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS PACIFIC TIGER FUND	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130206	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS ASIAN GROWTH & INCOME FUND	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111

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577130677	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEW ASIA CREDIT OPPORTUNITIES CL INV	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130701	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS CHINA FUND	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130750	MATTHEWS ASIAN FUNDS	60	0.15%	MATTHEWS ASIA DIVIDEND INST'L	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130800	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS JAPAN FUND	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130834	MATTHEWS ASIAN FUNDS	60	0.15%	MATTHEWS PACIFIC TIGER FUND INSTL	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
577130883	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS ASIAN INNOVATORS FD INVST	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111
589509108	WESTCHESTER FUNDS	60	0.40%	MERGER FUND	100 SUMMIT LAKE DRIVE #201	VALHALLA	NY	10595
592905103	METROPOLITAN WEST FUNDS	60	0.35%	METROPOLITAN WEST TOT RETURN BOND CL M	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017
592905509	METROPOLITAN WEST FUNDS	60	0.10%	METROPOLITAN WEST TOTAL RETURN CLASS I	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017
592905756	METROPOLITAN WEST FUNDS	60	0.40%	METWEST UNCONSTRAINED BOND M	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017
592905871	METROPOLITAN WEST FUNDS	60	0.40%	METROPOLITAN WEST HIGH YIELD BOND CL M	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017
60462F820	MIRAE FUNDS	60	\$12.00	EMERGING MKTS GREAT CONSUMER CL I	625 MADISON AVENUE, 3RD FLOOR	NEW YORK	NY	10022
60462F838	MIRAE FUNDS	60	\$12.00	EMERGING MKTS GREAT CONSUMER CL C	625 MADISON AVENUE, 3RD FLOOR	NEW YORK	NY	10022
60462F846	MIRAE FUNDS	60	\$12.00	EMERGING MKTS GREAT CONSUMER CL A	625 MADISON AVENUE, 3RD FLOOR	NEW YORK	NY	10022
617440581	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY CORE PLUS FIXED INC PRT A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
617440599	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY DISCOVERY PORT CL A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61744J564	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY GROWTH PORTFOLIO A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61744J614	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STA INST INC.INCEPTION PORT CL A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61744J861	MORGAN STANLEY FUNDS	60	0.10%	MORGAN STANLEY GROWTH PORTFOLIO I	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61747T106	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY INSIGHT A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61756E446	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY INTL ADVANTAGE CL A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61756E594	MORGAN STANLEY FUNDS	60	0.10%	MORGAN STANLEY GLOBAL ADVANTAGE I	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61756E685	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY GLOBAL OPPORTUNITY A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61756E693	MORGAN STANLEY FUNDS	60	0.15%	MORGAN STANLEY GLOBAL OPPORTUNITY I	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
61756E826	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY INSTLINTERNTL OPP CL A	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036
62826M483	JP MORGAN FUNDS	60	0.40%	JPMORGAN GROWTH ADVANTAGE FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
62827L682	EVENTIDE FUND	60	0.40%	EVENTIDE GILEAD FUND CLASS N	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788
62827M607	EVENTIDE FUND	60	0.40%	EVENTIDE HEALTHCARE AND LIFE SCIENCES N	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788
62827P246	CATALYST FUNDS	60	0.10%	CATALYST WARRINGTON STRATEGIC PROGRAM I	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788
62827P816	CATALYST FUNDS	60	0.10%	CATALYST MILLBURN HEDGE STRTGY FD CL I	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788
62827P873	CATALYST FUNDS	60	0.10%	CATALYST HEDGED COMMODITY STRAT CL I	80 ARKAY SUITE 110	HAUPPAUGE	NY	11788
63872T562	NATIXIS GLOBAL ASSOCIATES	60	0.05%	LOOMIS SAYLES SR FLT RATE & FIXED INC C	399 BOYLSTON STREET, 8TH FLOOR	BOSTON	MA	02116
63872T646	NATIXIS GLOBAL ASSOCIATES	60	0.40%	LOOMIS SAYLES STRATEGIC ALPHA A	399 BOYLSTON STREET, 8TH FLOOR	BOSTON	MA	02116
640917100	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN GENESIS TRUST CLASS	1290 AVENUE OF THE AMERICAS, 22ND FLC	NEW YORK	NY	101040002
640917803	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN SMALL CAP GRWTH TRUS	1290 AVENUE OF THE AMERICAS, 22ND FLC	NEW YORK	NY	101040002
641224266	NEUBERGER BERMAN GROUP	60	\$12.00	NEUBERGER BERMAN MIDCAP GROWTH FUND CL A	1290 AVENUE OF THE AMERICAS, 22ND FLC	NEW YORK	NY	101040002
641224522	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN EQUITY INCOME FUND A	1290 AVENUE OF THE AMERICAS, 22ND FLC	NEW YORK	NY	101040002
64128K769	NEUBERGER BERMAN GROUP	60	\$12.00	NEUBERGER BERMAN STRATEGIC INC CL C	1290 AVENUE OF THE AMERICAS, 22ND FLC	NEW YORK	NY	101040002
643822109	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN NEW ECONOMYFUND CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
643822406	AMERICAN CLASS F	60	0.37%	AMERICAN NEW ECONOMYCLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
648018109	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN NEW PERSPECTIVE CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
648018406	AMERICAN CLASS F	60	0.37%	AMERICAN NEW PERSPECTIVE CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
649280104	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN NEW WORLD FUND CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
649280401	AMERICAN CLASS F	60	0.37%	AMERICAN NEW WORLD CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
665162400	NORTHERN FUNDS	60	0.40%	NORTHERN SMALL CAP VALUE	801 SOUTH CANAL, C-5S	CHICAGO	IL	60675
665162699	NORTHERN FUNDS	60	0.35%	NORTHERN HIGH YIELD FIXED INCOME	801 SOUTH CANAL, C-5S	CHICAGO	IL	60675
66538B743	GRANT PARK FUNDS	60	0.10%	GRANT PARK MULTI ALT STRATIGIES FD CL I	555 WEST JACKSON BLVD., SUITE 600	CHICAGO	IL	60661
66538G148	HOWARD CAPITAL MANAGEMENT	60	0.40%	HCM INCOME PLUS FUNDINVESTOR	1145 HEMBREE ROAD	ROSWELL	GA	30076
66538G627	HOWARD CAPITAL MANAGEMENT	60	0.40%	HCM DIVIDEND SECTOR PLUS FUND INVESTOR	1145 HEMBREE ROAD	ROSWELL	GA	30076

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66538G858	HOWARD CAPITAL MANAGEMENT	60	0.40%	HCM TACTICAL GROWTH FUND INVESTOR	1145 HEMBREE ROAD	ROSWELL	GA	30076
66538J506	PACIFIC FINANCIAL	60	0.40%	PFG MFS AGGRESSIVE GROWTH STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J605	PACIFIC FINANCIAL	60	0.40%	PFG JP MORGAN TACTICAGGRESSIVE STRAT R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J803	PACIFIC FINANCIAL	60	0.40%	PFG EQUITY STRATEGY FUND CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J829	PACIFIC FINANCIAL	60	0.40%	PFG BNY MELLON DIVERSIFIER STRAT R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J837	PACIFIC FINANCIAL	60	0.40%	PFG MEEDER TACTICAL STRATEGY FUND R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J845	PACIFIC FINANCIAL	60	0.40%	PFG BALANCED STRATEGY FUND CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J852	PACIFIC FINANCIAL	60	0.40%	PFG JP MORGAN TACTICMODERATE STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J878	PACIFIC FINANCIAL	60	0.40%	PFG ACTIVE CORE BOND STRATEGY FUND CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J886	PACIFIC FINANCIAL	60	0.40%	PFG GLOBAL STRATEGY FUND CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A652	PACIFIC FINANCIAL	60	0.40%	PFG TACTICAL INCOME STRATEGY CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A660	PACIFIC FINANCIAL	60	0.40%	PFG EQUITY INDEX FOCUSED STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A678	PACIFIC FINANCIAL	60	0.40%	PFG SECTOR EQUITY BUS CYCLE STRAT R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A686	PACIFIC FINANCIAL	60	0.40%	PFG BR EQUITY ESG STRATEGY CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A694	PACIFIC FINANCIAL	60	0.40%	PFG AMERICAN FUNDS GROWTH STRAT CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A710	PACIFIC FINANCIAL	60	0.40%	PFG AMERICAN FDS CONS INC STRAT CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
67064Y321	NUVEEN MUTUAL FUNDS	60	0.40%	NUVEEN NWQ GLOBAL EQUITY INCOME CL A	333 WEST WACKER DRIVE	CHICAGO	IL	60606
670678309	NUVEEN MUTUAL FUNDS	60	0.40%	NUVEEN SMALL CAP VALUE CLASS A	333 WEST WACKER DRIVE	CHICAGO	IL	60606
671081305	OAK ASSOCIATES FUNDS	60	0.40%	RED OAK TECHNOLOGY SELECT	225 PICTORIA DRIVE, SUITE 450	CINCINNATI	OH	45246
674375506	OBERWEIS FUNDS	60	0.40%	OBERWEIS INTL OPPORTUNITIES FUND	3333 WARRENVILLE ROAD, STE. 500	LISLE	IL	60532
693390379	PIMCO FUNDS	60	0.40%	PIMCO HIGH YIELD CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693390411	PIMCO FUNDS	60	0.38%	PIMCO LOW DURATION CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693390445	PIMCO FUNDS	60	0.40%	PIMCO TOTAL RETURN CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693391120	PIMCO FUNDS	60	0.40%	PIMCO REAL RETURN CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693391245	PIMCO FUNDS	60	0.40%	PIMCO INTL BD FD (U.S. DOLLAR-HEDGED) A	1633 BROADWAY	NEW YORK	NY	10019
693391476	PIMCO FUNDS	60	0.40%	PIMCO GNMA AND GOVT SECURITIES FUND A	1633 BROADWAY	NEW YORK	NY	10019
701765109	PARNASSUS FUNDS	60	0.40%	PARNASSUS MID CAP GROWTH FUND INVST	ONE MARKET STREET-STEUART TOWER SUITE 100	SAN FRANCISCO	CA	94105
701765869	PARNASSUS FUNDS	60	0.40%	PARNASSUS ENDEAVOR FUND	ONE MARKET STREET-STEUART TOWER SUITE 100	SAN FRANCISCO	CA	94105
701765885	PARNASSUS FUNDS	60	0.40%	PARNASSUS MID CAP	ONE MARKET STREET-STEUART TOWER SUITE 100	SAN FRANCISCO	CA	94105
701769101	PARNASSUS FUNDS	60	0.40%	PARNASSUS CORE EQUITY INVESTOR	ONE MARKET STREET-STEUART TOWER SUITE 100	SAN FRANCISCO	CA	94105
70472Q708	PEAR TREE FUNDS	60	0.40%	PEAR TREE POLARIS FRGN VALUE ORDINARY	55 OLD BEDFORD ROAD	LINCOLN	MA	01773
714199106	PERMANENT PORTFOLIO	60	0.38%	PERMANENT PORTFOLIO	600 MONTGOMERY ST. SUITE 4100	SAN FRANCISCO	CA	941112702
722005196	PIMCO FUNDS	60	0.40%	PIMCO INTL BOND FUND (UNHEDGED) A	1633 BROADWAY	NEW YORK	NY	10019
722005568	PIMCO FUNDS	60	0.20%	PIMCO COMMODITY REALRETURN STRAT C	1633 BROADWAY	NEW YORK	NY	10019
722005584	PIMCO FUNDS	60	0.40%	PIMCO COMMODITY REALRETURN STRAT A	1633 BROADWAY	NEW YORK	NY	10019
722008307	PIMCO FUNDS	60	0.40%	PIMCO INVESTMENT GR CREDIT BOND FUND A	1633 BROADWAY	NEW YORK	NY	10019
72200Q299	PIMCO FUNDS	60	0.40%	PIMCO REAL ESTATE REAL RETURN STRAT A	1633 BROADWAY	NEW YORK	NY	10019
72200Q430	PIMCO FUNDS	60	0.40%	PIMCO STOCKSPPLUS INTERNATL US\$HGD A	1633 BROADWAY	NEW YORK	NY	10019
72200Q620	PIMCO FUNDS	60	0.40%	PIMCO STOCKSPPLUS ABSOLUTE RTRN CL A	1633 BROADWAY	NEW YORK	NY	10019
72200Q711	PIMCO FUNDS	60	0.40%	PIMCO ALL ASSET FUNDCLASS A	1633 BROADWAY	NEW YORK	NY	10019
72201F474	PIMCO FUNDS	60	0.40%	PIMCO INCOME FUND CL A	1633 BROADWAY	NEW YORK	NY	10019
72201P159	PIMCO FUNDS	60	0.40%	PIMCO COMMODITIES PLUS STRATEGY CL A	1633 BROADWAY	NEW YORK	NY	10019
72202E187	PIMCO FUNDS	60	0.10%	PIMCO TRENDS MANAGED FUTURES STRATEGY I3	1633 BROADWAY	NEW YORK	NY	10019
72202E435	PIMCO FUNDS	60	0.15%	PIMCO INTL BD (U.S. DOLLAR-HEDGED) I-3	1633 BROADWAY	NEW YORK	NY	10019
72202E666	PIMCO FUNDS	60	0.40%	PIMCO PREFERRED AND CAPITAL SECS CL A	1633 BROADWAY	NEW YORK	NY	10019
72202G372	PIMCO FUNDS	60	0.40%	PIMCO LONG DURATION TOTAL RETURN CL A	1633 BROADWAY	NEW YORK	NY	10019
723622502	PIONEER GROUP	60	0.10%	PIONEER BOND FUND CLASS R	60 STATE STREET, 17TH FL.	BOSTON	MA	02109
723682407	PIONEER GROUP	60	0.10%	PIONEER FUND CLASS Y	60 STATE STREET, 17TH FL.	BOSTON	MA	02109
72387P627	PIONEER GROUP	60	0.10%	PIONEER MULTI-ASSET INCOME FUND CL Y	60 STATE STREET, 17TH FL.	BOSTON	MA	02109

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741454102	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE COMM & TECHNOLOGY INVESTOR	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
741479109	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE GROWTH STOCK	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
741480107	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE HEALTH SCIENCES	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149N106	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE GLBL MULTI SECTOR BOND FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P309	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE RET 2030 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P408	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE RET 2040 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P762	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE RETIREMENT 2045 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P770	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE RETIREMENT 2035 FUND	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P788	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE RETIREMENT 2025 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74160Q103	PRIME CAP ODYSSEY	60	0.10%	PRIMECAP ODYSSEY GROWTH FUND	2020 E. FINANCIAL WAY, SUITE 100	GLENDORA	CA	91741
74160Q202	PRIME CAP ODYSSEY	60	0.10%	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	2020 E. FINANCIAL WAY, SUITE 100	GLENDORA	CA	91741
74160Q301	PRIME CAP ODYSSEY	60	0.10%	PRIMECAP ODYSSEY STO CK FUND	2020 E. FINANCIAL WAY, SUITE 100	GLENDORA	CA	91741
74255L175	PRINCIPAL	60	0.15%	PRINCIPAL FINISTERREUNCONSD EMG MKT BD I	620 COOLIDGE DRIVE, SUITE 300	FOLSOM	CA	95630
74255L589	PRINCIPAL	60	0.15%	PRINCIPAL BLUE CHIP I SHARES	620 COOLIDGE DRIVE, SUITE 300	FOLSOM	CA	95630
742935117	AKRE FUNDS	60	0.40%	AKRE FOCUS FUND RETAIL	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202
742935299	HODGES FUNDS	60	0.40%	HODGES SMALL CAP FUND RETAIL	2905 MAPLE AVENUE	DALLAS	TX	75201
742935489	OSTERWEIS	60	0.10%	THE OSTERWEIS STRATEGIC INCOME FD	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202
742935539	VILLERE BALANCED	60	0.40%	VILLERE BALANCED	601 POYDRAS STREET STE 1808	NEW ORLEANS	LA	701306038
743185159	PRO FUNDS	60	0.40%	NASDAQ-100 PRO FUND INVESTOR CLASS	7501 WISCONSIN AVE, SUITE 1000 EAST TO BETHESDA		MD	20814
743185266	PRO FUNDS	60	0.40%	TECHNOLOGY ULTRA SECTOR PRO FD INVSTR	7501 WISCONSIN AVE, SUITE 1000 EAST TO BETHESDA		MD	20814
743185480	PRO FUNDS	60	0.40%	BIOTECHNOLOGY ULTRA SECTOR PRO FD INVS	7501 WISCONSIN AVE, SUITE 1000 EAST TO BETHESDA		MD	20814
743185860	PRO FUNDS	60	0.40%	ULTRA NASDAQ-100 PRO FUND INVESTOR CLASS	7501 WISCONSIN AVE, SUITE 1000 EAST TO BETHESDA		MD	20814
743969651	PRUDENTIAL INVESTMENTS	60	0.15%	PGIM JEN INTL OPPORTUNITIES CL Z	655 BROAD STREET	NEWARK	NJ	07102
743969685	PRUDENTIAL INVESTMENTS	60	0.15%	PGIM JENN GLOBAL OPPORTUNITIES CL Z	655 BROAD STREET	NEWARK	NJ	07102
744336108	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM GLOBAL REAL ESTATE CL A	655 BROAD STREET	NEWARK	NJ	07102
744336306	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM GLOBAL REAL ESTATE CL C	655 BROAD STREET	NEWARK	NJ	07102
74440B108	PRUDENTIAL INVESTMENTS	60	0.40%	PGIM TOTAL RETURN BOND CL A	655 BROAD STREET	NEWARK	NJ	07102
74440B306	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM TOTAL RETURN BOND CL C	655 BROAD STREET	NEWARK	NJ	07102
74440B405	PRUDENTIAL INVESTMENTS	60	0.15%	PGIM TOTAL RETURN BOND CL Z	655 BROAD STREET	NEWARK	NJ	07102
74440Y108	PRUDENTIAL INVESTMENTS	60	0.40%	PGIM HIGH YIELD CL A	655 BROAD STREET	NEWARK	NJ	07102
74440Y801	PRUDENTIAL INVESTMENTS	60	0.15%	PGIM HIGH YIELD CL Z	655 BROAD STREET	NEWARK	NJ	07102
74441K305	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM JENN NATURAL RESOURCES CL C	655 BROAD STREET	NEWARK	NJ	07102
74441R102	PRUDENTIAL INVESTMENTS	60	0.40%	PGIM SHORT-TERM CORP BOND CL A	655 BROAD STREET	NEWARK	NJ	07102
74441R300	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM SHORT-TERM CORP BOND CL C	655 BROAD STREET	NEWARK	NJ	07102
74442J307	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM SHRT DUR HGH YLD INC FD CL Z	655 BROAD STREET	NEWARK	NJ	07102
746764570	PUTNAM FUNDS	60	0.40%	PUTNAM GLOBAL TECHNOLOGY FUND CL A	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109
746764646	PUTNAM FUNDS	60	0.40%	PUTNAM FOCUSED EQ FUND CLASS A	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109
746778109	PUTNAM FUNDS	60	0.40%	PUTNAM GLOBAL HEALTHCARE FUND CLASS A	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109
749255337	BOSTON PARTNERS	60	0.40%	BOSTON PARTNERS SM CAP VALUE II INVS	223 WILMINGTON WEST CHESTER PIKE #21	CHADDS FORD	PA	19317
74925K219	MOTLEY FOOL FUNDS	60	0.40%	MOTLEY FOOL SMALL MID CAP GROWTH INV	2000 DUKE STREET, SUITE 175	ALEXANDRIA	VA	22314
74925K235	MOTLEY FOOL FUNDS	60	0.40%	MOTLEY FOOL GLOBAL OPPORTUNITIES INVSTR	2000 DUKE STREET, SUITE 175	ALEXANDRIA	VA	22314
74925K417	RBB FUNDS	60	0.40%	SGI GLOBAL EQUITY FUND CL I	1055 WESTLAKES DRIVE	BERWYN	PA	19312
779546100	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE DIVIDEND GROWTH	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954M105	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE CAP APPRECIATION	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954N103	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE FINANCIAL SERVICES	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954P108	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE U.S. EQUITY RESEARCH FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954Q106	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE BLUE CHIP GROWTH INC	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779552108	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE EQUITY INDEX 500 FUND	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77956H302	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE INTL DISCOVERY FUND	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117

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77956H856	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE GLOBAL STOCK	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77956H864	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE EMERGING MKTS STOCK	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779578103	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE VALUE	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77957L302	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE SPECT CONS ALLOCATION	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77957T107	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE US TREA INTERMEDIATE IND IN	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77958A107	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE INTL EQUITY INDEX	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779917103	T. ROWE PRICE FINANCIAL INSTITUTION	60	0.15%	T ROWE PRICE QM US SML CAP GRWTH EQUITY	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
780811790	ROYCE FUNDS	60	0.40%	ROYCE INTERNATIONAL PREMIER SERVICE CL	745 FIFTH AVENUE SUITE 2400	NEW YORK	NY	10151
780905733	ROYCE FUNDS	60	0.40%	ROYCE SMALL CAP VALUE SERVICE CL	745 FIFTH AVENUE SUITE 2400	NEW YORK	NY	10151
780905741	ROYCE FUNDS	60	0.40%	ROYCE SMALLER CO GROWTH SERVICE CL	745 FIFTH AVENUE SUITE 2400	NEW YORK	NY	10151
780905832	ROYCE FUNDS	60	0.15%	ROYCE OPPORTUNITY FUND INVEST CLASS	745 FIFTH AVENUE SUITE 2400	NEW YORK	NY	10151
780905840	ROYCE FUNDS	60	0.15%	ROYCE PENNSYLVANIA MUTUAL INVST CLASS	745 FIFTH AVENUE SUITE 2400	NEW YORK	NY	10151
783554470	RYDEX SERIES TRUST	60	0.40%	RYDEX UTILITIES INVESTOR CLASS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
783554603	RYDEX SERIES TRUST	60	0.40%	RYDEX NASDAQ 100 INV CLASS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
783554793	RYDEX SERIES TRUST	60	0.40%	RYDEX CONSUMER PRODUCTS INVESTOR CL	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
78355E650	RYDEX SERIES TRUST	60	0.40%	RYDEX S&P 500 PURE GROWTH H CLASS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
78356A780	RYDEX SERIES TRUST	60	0.40%	GUGGENHEIM MULTI - HEDGE STRATEGIES P	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850
78410K725	CCM PARTNERS	60	0.15%	ICON UTILITIES AND INCOME INSTL	P.O. BOX 87	DENVER	CO	802010087
804096501	SEXTANT FUNDS	60	0.40%	SEXTANT INTRNATIONALFUND	1300 NORTH STATE STREET	BELLINGHAM	WA	98225
808509731	SCHWAB FUNDS	60	0.40%	SCHWAB HEALTH CARE FUND	211 MAIN ST	SAN FRANCISCO	CA	94105
808509806	SCHWAB FUNDS	60	0.40%	SCHWAB CORE EQUITY	211 MAIN ST	SAN FRANCISCO	CA	94105
808530208	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA VALUE FUND	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170
808530307	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA GROWTH	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170
808530505	SCHWARTZ INVESTMENT TRUST	60	0.08%	AVE MARIA BOND CL R	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170
808530604	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA RISING DIVIDEND FUND	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170
808530802	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA WORLD EQUITY FUND	801 W. ANN ARBOR TRAIL SUITE 244	PLYMOUTH	MI	48170
81580H860	SEGALL BRYANT & HAMILL AKA WESTCO	60	0.30%	SEGALL BRYANT HAMILL PLUS BOND FD RETAIL	370 17TH STREET, SUITE 5000	DENVER	CO	80202
82301Q692	CCM PARTNERS	60	0.40%	SHELTON GREEN ALPHA FUND S CLASS	P.O. BOX 87	DENVER	CO	802010087
82301Q726	CCM PARTNERS	60	0.12%	SHELTON NASDAQ 100 INDEX	P.O. BOX 87	DENVER	CO	802010087
829800101	SIT GROUP	60	0.35%	SIT US GOVT SECS	80 SOUTH 8TH STREET	MINNEAPOLIS	MN	55402
85208P105	SPROTT FUNDS	60	0.40%	SPROTT GOLD EQUITY FUND INVESTOR	200 BAY STREET, SUITE 2600	TORONTO	CA	M5J 2J1
85235B608	STADION FUNDS	60	0.10%	STADION TACTICAL DEFENSIVE CL I	P.O. BOX 1920	DENVER	CO	80201
85520V335	CAVALIER INVESTMENTS	60	0.40%	ADAPTIVE FUNDAMENTALGROWTH FUND INSTL	26 MIRAMONTE RD	CARMEL VALLEY	CA	93924
87234N351	TCW GALILEO	60	0.40%	TCW EMERGING MARKETS INCOME CL N	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017
87234N518	TCW GALILEO	60	0.40%	TCW RELATIVE VALUE DIVIDEND APPREC CL N	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017
87234N641	TCW GALILEO	60	0.35%	TCW TOTAL RETURN BOND CLASS N	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017
87234N880	TCW GALILEO	60	0.10%	TCW TOTAL RETURN BOND CLASS I	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017
880196209	FRANKLIN GROUP OF FUNDS	60	\$16.00	TEMPLETON FOREIGN CLASS A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
880208103	FRANKLIN GROUP OF FUNDS	60	\$16.00	TEMPLETON GLOBAL BOND CLASS A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
880208301	FRANKLIN GROUP OF FUNDS	60	\$19.00	TEMPLETON GLOBAL BOND CLASS C	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
884116401	THIRD AVENUE FUNDS	60	0.35%	THIRD AVENUE REAL ESTATE VALUE INSTL	622 THIRD AVENUE 32 FLOOR	NEW YORK	NY	10017
884116807	THIRD AVENUE FUNDS	60	0.40%	THIRD AVENUE VALUE FUND INVESTOR CLASS	622 THIRD AVENUE 32 FLOOR	NEW YORK	NY	10017
884116872	THIRD AVENUE FUNDS	60	0.40%	THIRD AVENUE REAL ESTATE VALUE INVST	622 THIRD AVENUE 32 FLOOR	NEW YORK	NY	10017
884891201	THOMPSON INVESTMENT MANAGEMEN	60	0.25%	THOMPSON BOND FUND	1255 FOURIER DR STE 200	MADISON	WI	53717
885215194	THORNBURG FUNDS	60	0.15%	THORNBURG STRATEGIC INCOME FUND CL I	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506
885215467	THORNBURG FUNDS	60	0.15%	THORNBURG INCOME BUILDER CL I	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506
885215558	THORNBURG FUNDS	60	0.40%	THORNBURG INV INCOME BUILDER FUND CL A	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506
887432409	TIMOTHY PLAN	60	0.08%	TIMOTHY SMALL CAP VALUE CLASS A	80 ARKAY DRIVE, SUITE 110	HAUPPAUGE	NY	11788
887432433	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN DEFEN STRATEGIES CLASS I	80 ARKAY DRIVE, SUITE 110	HAUPPAUGE	NY	11788

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	State	Zip
887432607	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN LRG/MID CAP VALUE CL A	80 ARKAY DRIVE, SUITE 110	HAUPPAUGE	NY	11788
887432789	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN LARGE / MID CAP GROWTH CL A	80 ARKAY DRIVE, SUITE 110	HAUPPAUGE	NY	11788
887432813	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN AGGRESSIVE GROWTH A	80 ARKAY DRIVE, SUITE 110	HAUPPAUGE	NY	11788
888894847	TOCQUEVILLE	60	\$16.00	THE TOCQUEVILLE PHOENIX FUND	40 W 57TH STREET 19TH FL	NEW YORK	NY	10019
89154Q596	TOUCHSTONE FAMILY OF FUNDS	60	0.10%	TOUCHSTONE FLEXIBLE INCOME FUND CL Y	303 BROADWAY, SUITE 1100	CINCINNATI	OH	452024203
89155H785	TOUCHSTONE FAMILY OF FUNDS	60	0.40%	TOUCHSTONE MID CAP FUND CL Z	303 BROADWAY, SUITE 1100	CINCINNATI	OH	452024203
89155H819	TOUCHSTONE FAMILY OF FUNDS	60	0.40%	TOUCHSTONE SANDS CAP SEL GRWTH Z	303 BROADWAY, SUITE 1100	CINCINNATI	OH	452024203
893958462	TRANSAMERICA	60	0.40%	TRANSAMERICA CAPITAL GROWTH CL A	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499
893962639	TRANSAMERICA	60	0.40%	TRANSAMERICA SHORT-TERM BOND CL A	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499
89609H837	TRIBUTARY FUNDS	60	0.40%	TRIBUTARY BALANCED FUND INSTL	1620 DODGE STREET, STOP 1089	OMAHA	NE	68197
89832P333	MILLER FUNDS	60	0.12%	MILLER OPPORTUNITY TRUST CL I	100 SALEM STREET	SMITHFIELD	RI	02917
89833W394	PERFORMANCE TRUST FUNDS	60	0.40%	PERFORMANCE TRUST STRATEGIC BOND FD	500 WEST MADISON, SUITE 470	CHICAGO	IL	60661
89833W527	JENSEN FUNDS	60	0.40%	JENSEN QUALITY VALUEFUND CLASS J	811 E. WISCONSIN AVE, 8TH FLOOR	MILWAUKEE	WI	53202
901165100	TWEEDY BROWNE	60	\$25.00	TWEEDY BROWNE GLOBAL VALUE FUND	ONE STATION PLACE, 5TH FLOOR	STAMFORD	CT	06902
903288819	VICTORY CAPITAL MANAGEMENT	60	0.10%	USAA NASDAQ 100 INDEX RETAIL	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114
903288876	VICTORY CAPITAL MANAGEMENT	60	0.10%	USAA SCIENCE & TECHNOLOGY RETAIL	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114
911476208	US GLOBAL INVESTORS	60	0.40%	GLOBAL RESOURCES FUND	3 CANAL PLAZA, SUITE 600	PORTLAND	ME	04101
911476802	US GLOBAL INVESTORS	60	0.40%	WORLD PRECIOUS MINERALS FUND	3 CANAL PLAZA, SUITE 600	PORTLAND	ME	04101
920423100	VALUE LINE MUTUAL FUNDS	60	0.40%	VALUE LINE MID CAP FOCUSED INVESTORS FD	7 TIMES SQUARE, SUITE 1606	NEW YORK	NY	10036
920457108	VALUE LINE MUTUAL FUNDS	60	0.40%	VALUE LINE PREMIER GROWTH INVESTORS FD	7 TIMES SQUARE, SUITE 1606	NEW YORK	NY	10036
92046L650	FOUNDRY PARTNERS LLC	60	0.40%	FOUNDRY PARTNERS FDM SMALL CAP VAL INVST	510 FIRST AVENUE N., SUITE 409	MINNEAPOLIS	MN	55403
921075750	VANECK	60	0.38%	VAN ECK GLOBAL HARD ASSETS CLASS A	666 3RD AVENUE, 9TH FL	NEW YORK	NY	10017
926464231	VICTORY CAPITAL MANAGEMENT	60	0.10%	VICTORY SYCAMORE ESTABLISHED VALUE A	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114
92647Q108	VICTORY CAPITAL MANAGEMENT	60	0.40%	VICTORY RS SMALL CAPGROWTH FUND CL A	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114
92647Q504	VICTORY CAPITAL MANAGEMENT	60	0.40%	VICTORY RS SCIENCE AND TECHNOLOGY CL A	4900 TIEDEMAN RD 4TH FLOOR	BROOKLYN	OH	44114
92828N767	VIRTUS	60	0.40%	VIRTUS KAR MID CAP GROWTH FUND CL A	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301
92828R628	VIRTUS	60	0.10%	VIRTUS NEWFLEET MLT SECTOR SH TERM BD C	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301
92828R644	VIRTUS	60	0.40%	VIRTUS NEWFLEET MLT SECTOR SH TERM BD A	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301
92828W387	VIRTUS	60	0.40%	VIRTUS VONTOBEL EMERG MKTS OPPS A	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301
92828W825	VIRTUS	60	0.10%	VIRTUS KAR INTL SMALL CAP CL I	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301
92837F318	VIRTUS	60	0.40%	VIRTUS ZEVENBERGEN INNOVATIVE GR STK A	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301
92913K405	VOYA FUNDS	60	0.40%	VOYA SMALL CAP OPPORTUNITIES CL A	7337 E. DOUBLETREE RANCH RD	SCOTTSDALE	AZ	85258
92914A828	VOYA FUNDS	60	0.40%	VOYA GLOBAL BOND CLASS A	7337 E. DOUBLETREE RANCH RD	SCOTTSDALE	AZ	85258
92934R116	CRM FUNDS	60	\$16.00	CRM SMALL/MID CAP VALUE FD	520 MADISON AVE 20TH FL	NEW YORK	NY	10022
936772201	WASATCH FUNDS	60	0.40%	WASATCH CORE GROWTH	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936772300	WASATCH FUNDS	60	0.25%	WASATCH HOISINGTON US TREASURY	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936772409	WASATCH FUNDS	60	0.40%	WASATCH ULTRA GROWTH	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936772508	WASATCH FUNDS	60	0.40%	WASATCH MICROCAP	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936793207	WASATCH FUNDS	60	0.40%	WASATCH SMALL CAP VALUE	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936793405	WASATCH FUNDS	60	0.40%	WASATCH INTERNATIONAL GROWTH	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936793504	WASATCH FUNDS	60	0.40%	WASATCH MICRO-CAP VALUE FUND	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936793843	WASATCH FUNDS	60	0.40%	WASATCH GLOBAL VALUE FUND	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
936793884	WASATCH FUNDS	60	0.40%	WASATCH EMERGING MARKETS SMALL CAP FD	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108
939330106	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN WASHNTN MUTUAL INVESTRS CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
939330403	AMERICAN CLASS F	60	0.37%	AMERICAN WASHINGTON MUTUAL INVESTORS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
94904P864	WEITZ FUNDS	60	0.40%	WEITZ SHORT DURATIONINCOME FD INVESTOR	1125 SOUTH 103RD STREET	OMAHA	NE	68124
94975H791	WELLS FARGO FUNDS	60	0.40%	WELLS FARGO CORE PLUS BOND FD CL A	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105
94975P462	WELLS FARGO FUNDS	60	0.40%	WELLS FARGO LARGE CAP GROWTH A	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105
94984B389	WELLS FARGO FUNDS	60	0.40%	WELLS FARGO EMERGING MRKTS EQ A	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	State	Zip
94985D483	WELLS FARGO FUNDS	60	0.40%	WELLS FARGO UTILITY & TELECOMM FUND CL A	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105
949915672	WELLS FARGO FUNDS	60	0.40%	WELLS FARGO GROWTH CLASS A	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105
949921308	WELLS FARGO FUNDS	60	0.40%	WELLS FARGO SPECIAL MID CAP CL A	525 MARKET ST., MAC #A0103-122	SAN FRANCISCO	CA	94105
957663461	LEGG MASON	60	0.40%	WESTERN ASSET CORE BOND PLUS FUND CL A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
957663495	LEGG MASON	60	0.40%	WESTERN ASSET CORE BOND FUND CL A	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
957663503	LEGG MASON	60	0.15%	WESTERN ASSET CORE PLUS BOND FUND INSTL	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018
98147A295	WORLD FUNDS	60	0.40%	APPLIED FIN EXPLORERFUND INVESTOR	8730 STONY POINT PARKWAY SUITE 205	RICHMOND	VA	23235

DUKE ENERGY RETIREMENT SAVINGS PLAN

EIN: 20-2777218 PN: 002

**Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)
December 31, 2020**

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Market Value (in thousands)
*	Duke Energy Common Stock Fund	Common Stock	**	\$ 1,280,782
*	US Equity SM/MD Cap I	Institutional Fund	**	675,814
*	US Eq All Cap Blend	Institutional Fund	**	750,156
*	Non-US Equity Blend	Institutional Fund	**	870,798
*	Fixed Income Blend	Institutional Fund	**	656,621
*	US Eq S&P 500 Index	Institutional Fund	**	2,228,302
*	Retirement Fund 2010	Institutional Fund	**	18,500
*	Retirement Fund 2015	Institutional Fund	**	44,119
*	Retirement Fund 2020	Institutional Fund	**	183,896
*	Retirement Fund 2025	Institutional Fund	**	300,824
*	Retirement Fund 2030	Institutional Fund	**	292,369
*	Retirement Fund 2035	Institutional Fund	**	211,889
*	Retirement Fund 2040	Institutional Fund	**	190,251
*	Retirement Fund 2045	Institutional Fund	**	203,716
*	Retirement Fund 2050	Institutional Fund	**	160,634
*	Retirement Fund 2055	Institutional Fund	**	122,852
	Retirement Fund 2060	Institutional Fund	**	43,308
*	Post Retirement Fund	Institutional Fund	**	34,698
	Diversified RL Asset	Institutional Fund	**	8,697
	Brokeragelink	Self-Directed Brokerage Account	**	866,545
	Stable Value Fund	Common Collective Trust Fund	**	691,711
	RREEF Global Real Estate	Institutional Fund	**	29,114
	Total investments			\$ 9,865,596
*	Participant Loans	Participant Loans	-0-	145,707
		Interest Rates of 3.25% - 9.25%		
	Total			\$ 10,011,303

* Permitted party-in-interest

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